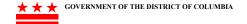**Welcome to Washington**
DISTRICT OF COLUMBIA

Supporting the Vision: Mayor's Plan to Integrate the District of Columbia's Social Services Information Systems with the Family Court of the DC Superior Court

PART I – PLAN TO INTEGRATE INFORMATION SYSTEMS

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PART I – INFORMATION SYSTEM INTEGRATION

1   INTRODUCTION

This report, *Supporting the Vision: Mayor's Plan to Integrate the District of Columbia's Social Service and Related Information Systems with the Family Court of the DC Superior Court*, is submitted to the Congress of the United States pursuant to § 11-1106(c) of the District of Columbia Family Court Act of 2001 (the Act).   This report describes the plan of Mayor Anthony Williams' administration for the integration of District of Columbia (District) computer systems with those of the Family Court of the Superior Court of the District of Columbia (the Family Court). This legislative mandate will be fulfilled in the context of the Mayor's Safe Passages goals, which envision District-wide coordination of services for vulnerable persons, supported by integrated computerized information systems.   This plan seeks to define the processes necessary to accomplish inter-agency and intra-agency access and sharing of critical service information related to individuals and families involved in certain proceedings before the Family Court. This plan encompasses the following:

- Review of the mandates within the Family Court Act of 2001;

- Summary of the current District health and human services environment; including an overview of agency operations and ongoing social service coordination initiatives;

- Overview of the current District health and human services IT capabilities;

- Description of the service and system integration challenges faced by District agencies that have touch-points with the Family Court;

- Presentation of the Safe Passages Information Suite and related technological initiatives and strategies for their design and implementation, which represents the Mayor's strategic IT system integration plan for District health and human services and related IT systems;

- Forward-looking analysis of the technological integration challenges and options for integration of District social service computer systems with those of the Family Court, and provides a general assessment of the primary cost drivers and barriers to implementation;

- Documentation of the programs, policies, and infrastructure in place in the District to plan and manage this information system integration;

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- Outline of the spending plan required of the Mayor by the Federal Payment for Family Court Act of the District of Columbia Appropriations Act, 2002, approved December 21, 2001, Pub. L. 107-96, 115 Stat. 923, as a condition for spending the FY02 appropriation of $200,000 to support this plan for computer systems integration and $500,000 to support the Mayor's other obligations under the Family Court Act.

2 District Family Court Act Of 2001

The District of Columbia Family Court Act of 2001 was enacted to amend title 11, District of Columbia Code, for the purpose of establishing the Family Court of the Superior Court of the District of Columbia (the Family Court). The newly established Family Court will build a core group of highly trained and well-supported judges who specialize in Family Court matters, provide services on a "One Judge, One Family" model to the extent legal and practicable, recruit and retain experienced judges to serve in the Family Court, provide on-going training to Family Court assigned personnel and promote a consistent and efficient manner of assigning judges to the Family Court. The Family Court Act of 2001 was passed by Congress in late 2001 and signed by the President on January 8, 2002. It established a separate Court bringing together cases involving children and families under a single judicial and administrative structure.

In recent years, both the Superior Court and the District's Child and Family Services Agency (CFSA) had come under scrutiny for their handling of child abuse and neglect cases. The central goals of the Family Court Act are to ensure the safety of abused and neglected children, ensure that they grow up in a permanent family rather than lingering in the system, and improve the Court's responsiveness to families by integrating the services it provides in a manner appropriate to each family's particular needs. By improving the organization, processes and supporting information technology within the Court, the Act will result in better performance in attaining both federal and District Adoption and Safe Families Act (ASFA) goals for safety and permanence for abused and neglected children.

Participants in Family Court reform also recognize that the Family Court's jurisdiction extends beyond child abuse and neglect proceedings. Matters involving adoption, youth offenders, domestic violence, paternity and child support, divorce, child custody, mental health, mental retardation and developmental disabilities are also under the jurisdiction of the Family Court. Thus, the new judicial structure will have major impact, not only within the District's child welfare system, but also for multiple District governmental agencies providing services to individuals and families also being served by the Family Court. Title § 11-1101 of the Act specifically sets forth the types of actions over which the Family Court shall have original

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jurisdiction. Of the actions and proceedings listed, five broad categories of cases encompassed within the Family Court's jurisdiction involve individuals and families who are often receiving social and other related services provided by multiple District government agencies: 1) proceedings involving intra-family offenses; 2) proceedings in which a child is alleged to be delinquent, neglected, abused, or in need of supervision; 3) proceedings related to the commitment of the mentally ill; 4) proceedings related to the commitment of the mentally retarded; and 5) proceedings under the Interstate Compact on Juveniles.

2.1   Mandates of the Family Court Act

The Superior Court and the District of Columbia government have a number of statutory mandates associated with establishment of the new Family Court.

The Superior Court is required to:

- Establish a "one family, one judge" approach to management of cases and proceedings;

- Create a specialized Family Court made up of a core group of highly trained, well-supported judges which will hear all child and family matters, rather than dispersing them across all the Superior Court judges as had previously been the case;

- Transfer all appropriate cases into the Family Court within no more than eighteen months, giving priority to abuse and neglect matters;

- Ensure that cases remain in the Family Court after judges transfer out, with very limited exceptions governed by the goals of ASFA;

- Recruit and appoint new judges and magistrates for the Family Court;

- Provide an ongoing training program in family law and related matters for judges of the Family Court, attorneys who practice in the Family Court, and other appropriate non-judicial personnel;

- Provide understandable and accessible materials, services, and proceedings to the individuals and families served by the Family Court;

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- Develop an integrated court computerized case tracking and management system for the Family Court that also integrates with the District's health and human services information systems.

The District is required to:

- Submit a plan to Congress for the integration of Family Court and District's health and human services computer systems with the Family Court;

- Create a liaison position between the District government and the Family Court for managing the coordination of the delivery of services provided by the District government with the activities of the Family Court;

- Manage onsite coordination of services and information by ensuring that appropriate representatives of designated District agencies are available onsite at the Family Court as appropriate to coordinate the provision of services and information;

- Enter into a border agreement with the State of Maryland and the Commonwealth of Virginia to facilitate the timely and safe placement of children in the care of the District's Child and Family Services Agency into foster homes or other facilities in Maryland and Virginia.[1]

2.2   Mandates and Requirements for the Development of Computer Systems

The Family Court Act has provided specific expectations for the planning and development of computer systems both within the Court and between the Court and District Government.

2.2.1   <u>Superior Court's Integrated Computer System</u>[2]

The Superior Court, under Title 11-1104 (e), must develop a computerized case tracking and management system for the Family Court that will:

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1 United States. 107th Congress, 1st Session. An Act to Amend Title 11, District of Columbia Code. "District of Columbia Family Court Act of 2001". Section 7. Sense of Congress Regarding Border Agreement with Maryland and Virginia.

2 United States. 107th Congress, 1st Session. An Act to Amend Title 11, District of Columbia Code. "District of Columbia Family Court Act of 2001." Section 4. Improving Administration of Cases and Proceedings in Family Court. § 11-1104. Administration.

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- Ensure that all records and materials of cases and proceedings in the Family Court are stored and maintained in electronic format accessible by computers for the use of judges, magistrate judges, and non-judicial personnel of the Family Court, and for the use of other appropriate offices of the District government *in accordance with the plan for integrating computer systems prepared by the Mayor of the District of Columbia*;

- Establish and operate an electronic tracking and management system for cases and proceedings in the Family Court for the use of judges and non-judicial personnel of the Family Court;

- Expand the integrated computerized case tracking and management system to cover all divisions of the Superior Court as soon as practicable.

2.2.2 Mayor's Plan for the Integration of Computer Systems with the Family Court[3]

The Mayor of the District of Columbia, under Title 11-1106(c) of the Act, is mandated to submit to the President and Congress a plan for

"integrating the computer systems of the District government with the computer systems of the Superior Court of the District of Columbia so that the Family Court of the Superior Court and the appropriate offices of the District government which provide social services and other related services to individuals and families served by the Family Court of the Superior Court (including the District of Columbia Public Schools, the District of Columbia Housing Authority, the Child and Family Services Agency, the Office of the Corporation Counsel, the Metropolitan Police Department, the Department of Health, and other offices determined by the Mayor) will be able to access and share information on the individuals and families served by the Family Court."

2.3 Additional Requirements Related to the District Government[4]

Section 11-1105 of the Family Court Act details expectations of the District for the implementation of operational enhancements in relation to the Family Court and coordination of social and related services. Although details regarding specific implementation of these service-related requirements are not addressed directly in this report, the District is cognizant of the need to support these new operational processes during the ongoing development of IT strategy.

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3 United States. 107th Congress, 1st Session. An Act to Amend Title 11, District of Columbia Code. "District of Columbia Family Court Act of 2001". Section 4. Improving Administration of Cases and Proceedings in Family Court. § 11-1106. Reports to Congress.

4 United States. 107th Congress, 1st Session. An Act to Amend Title 11, District of Columbia Code. "District of Columbia Family Court Act of 2001." Section 4. Improving Administration of Cases and Proceedings in Family Court. § 11-1105. Social services and other related services.

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2.3.1   On-site Representation of District Services at the Court

The Family Court Act requires that representatives from various District agencies be available to the Family Court for the purpose of making available information regarding resources and services and coordinating the provision of their respective services for the individuals and families served by the Family Court. The legislation specifically assigns responsibility to the head of designated District agencies to "provide the Mayor with such information, assistance, and services as the Mayor may require" to assure provision of onsite service-coordination. District agencies specifically listed include:

- District of Columbia Public Schools,
- District of Columbia Housing Authority,
- Child and Family Services Agency,
- Office of the Corporation Counsel,
- Metropolitan Police Department,
- Department of Health,
- Other offices determined by the Mayor to work with the Mayor of the District of Columbia to provide the required on-site Family Court support.

To date, other District agencies that have been identified by the Mayor to provide the required on-site Family Court coordination and support include the Department of Human Services and the Department of Mental Health.

2.3.2   Appointment of a District Liaison to the Court

Under Section 11-1105(b), the Mayor is required to appoint an individual to serve as a liaison between the District government (agencies) and the Family Court. The appointed liaison will be responsible for the general coordination of the delivery of services provided by the agencies with the activities of the Family Court, and for providing information to the appropriate Family Court personnel.

2.3.3   Information Reporting

On an on-going basis, the Mayor will be required to provide the Chief Judge of the Superior Court and the Presiding Judge of the Family Court with information regarding the services of the District government that are available to those individuals and families that are served by the Family Court.

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2.3.4   Cross-training Programs

Under Section 11-1104(c), the District is expected to collaborate with the Court to assure that individuals within the health and human services agencies who have the requisite skills to contribute (e.g., social workers and case managers) shall work with the Family Court to provide appropriate training. The Act also requires the Family Court to develop and maintain a training program that provides appropriate family matter related information and instruction to the judges involved in Family Court cases.

3   SUMMARY OF THE CURRENT DISTRICT Health and human services ENVIRONMENT

Understanding the District of Columbia's health and human services delivery system and how the agencies interact with the District's Family Court is crucial to creating an information system integration plan. The District's health and human services delivery system is unique. The governmental structure of the District requires many agencies to simultaneously provide both traditional state-level oversight and local-level service delivery.

In order to enhance centralized coordination across social service agencies, Mayor Williams has empowered the Deputy Mayor for Children, Youth, Families and Elders (DMCYFE) to provide strategic direction for the agencies providing critical services to some of the District's most vulnerable residents. The key health and human services agencies within the DMCYFE cluster, critical to the implementation of the Family Court Act of 2001, include CFSA, the Department of Human Services (DHS), the Department of Health (DOH), and the Department of Mental Health (DMH). Several other critical agencies outside of the DMCYFE cluster are specifically listed in the Family Court Act of 2001. These agencies include: the Office of Corporation Counsel (OCC), Metropolitan Police Department (MPD), DC Public Schools, and the DC Housing Authority (DCHA). Improved coordination between these agencies, and agencies under the DMCYFE cluster, is instrumental to the successful implementation of the Act.

Each of the agencies listed above have varying interactions with the reformed Family Court. The roles of each of these agencies in the overall District government are highlighted within *Appendix II: Chart of District Agencies*. A brief description of the agencies and administrations with touch-points to the Family Court is provided below, accompanied by a summary of their information exchange and interactions with the Family Court.

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3.1   Child and Family Services Agency

The District of Columbia Child and Family Services Agency (CFSA) promotes the safety, permanence, and well-being of the District's most vulnerable children and families, those who have been abused or neglected or are at risk of abuse or neglect. CFSA investigates reports of abuse or neglect, provides services to families in their homes, provides foster, kinship, and group care settings for children who cannot safely live at home, licenses and monitors out-of-home care to ensure quality, recruits, trains, and supports adoptive families, and promotes permanent families for children either through reunification or through adoption or guardianship for children who cannot return to their biological families. A range of nonprofit and community partners are key to these services. After six years of federal receivership, CFSA was established as a cabinet-level agency in 2001.

CFSA Interaction with the Family Court: Along with OCC, CFSA and the Family Court have the same outcome goals for shared clients: in particular, safety and permanence for abused and neglected children, consistent with the District and Federal Adoption and Safe Families Acts (ASFA). The ASFA framework identifies safety as paramount and also highlights permanence through a range of requirements and timelines that underline the critical importance for children of timely movement to a permanent family, so that children do not linger in the system. Inherently, the interaction between the agencies is frequent and robust with nearly 1500 abuse and neglect hearings a month. The Family Court is involved at every step of a child's abuse or neglect case – immediately if the child needs to be removed from the home, at the point of a determination of abuse or neglect, in a series of review hearings that determine the next steps for the child, and at the point of decisions about permanency, such as adoption or guardianship. Very little of this interaction is currently enabled through technological integration. The ability of the Family Court to exchange information with FACES will be paramount to the success of the integration.

CFSA needs better access to Court calendar information, as its case workers frequently need to appear in Court on a family's behalf. CFSA must manually enter Court orders and dispositions into its case records and in some cases may not learn of the dispositions in a timely manner. CFSA submits a number of forms and reports to the Court, many of which are created electronically on FACES only to be printed out and submitted to the Court via hardcopy. The process of receipt and dissemination of Court orders is cumbersome because of its reliance on paper. Even if only at the inquiry level, it is critical that the Family Court and CFSA improve the processes for sharing of information at the individual case level and for the measurement of outcomes at the aggregate level.

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3.2   Department of Mental Health (DMH)

The Department of Mental Health (DMH) was established in 2002, following a period of 5 years during which the Commission on Mental Health Services operated under receivership. DMH provides services to assist in the care of mentally ill citizens who reside in the District of Columbia. DMH also provides oversight to facilitate the delivery of services by District government and non-governmental entities. DMH is actively involved in improving social services in mental health care to divert more youth and children from the juvenile justice system. DMH interacts with all DC agencies that provide services to youth, and is currently engaged in developing a system of care for youth in the District. In its role as an Authority, DMH is contracting with and will monitor all agencies it certifies to provide mental health services to youth. DMH is interested in collecting data from other agencies that come into contact with youth – in particular, CFSA and YSA – to determine the incidence and progression of youth with mental health disorders through the various systems. Additionally, parents of children in the child welfare systems may have been served by DMH.

Taking a proactive stance, DMH has initiated a Multi-agency Planning Team (MAPT) to develop procedures and strategies for the return of youth who are currently in residential treatment outside of the District, many for reasons related to their specific mental health needs. The Court Social Services Division of the Superior Court is one of the agencies participating in this effort along with DCPS, CFSA, DHS/ YSA, PDS, OCC, and Health Services for Children with Special Needs, among others. A second focus of this working group is the development of strategies to divert youth who would be designated for out-of-District residential placement.   In both instances, DMH recognizes that the development of additional District community-based mental health services that are accessible and relevant will be critical to the success of these efforts.

DMH Interaction with the Family Court: The majority of the contact between DMH and the Superior Court is in the form of judges' orders for assessments and treatments for youth in child abuse and juvenile delinquency cases, and adult mental health commitment cases. The overwhelming majority, if not all, of the psychiatric and psychological assessments for youth who come into contact with the Court are conducted pursuant to a Court order. The majority of these assessments are currently conducted by multiple agencies: the Court's own Court Social Services (CSS), DMH and CFSA, or by private hospitals to whom the Court may refer youth for inpatient assessments.

Currently, DMH provides the Court information in the form of psychiatric and psychological assessments of youth for whom judges have issued orders. The responsibility for assessments is shared among DMS, CSS, CFSA and private hospitals. It is the view of DMH that this assessment "system" is itself in need of

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substantial review and revision. In particular, while responsibility for assessments is shared among multiple agencies, the exchange of information between these agencies concerning specific youth is hampered in largest part due to unresolved issues of confidentiality. In addition, it is the view of DMH that psychiatric and psychological assessments are ordered and conducted when other more effective strategies for advising the Court might be more helpful in determining the disposition of cases. Psychiatric and psychological assessments, which are requested/responded to, are sent via regular mail or are couriered between the court, counsel and other agencies. Notifications are sent to the Court regarding the movement of a specific youth (e.g., to the hospital for medical or psychiatric reasons). Interim status reports on specific youth are typically communicated by phone. Information shortcomings include timeliness and context, that is, notifications are not always received in a timely manner and frequently lack context for the recipient of a discrete bit of information.

3.3 Department of Human Services (DHS)

The Department of Human Services (DHS) provides comprehensive human services and develops social service policies and programs to foster the rehabilitation and self-sufficiency of District residents. To accomplish its goals, the Department, in partnership with other agencies, administers the following social services programs: Temporary Assistance to Needy Families (TANF), Child Care, Developmental Disabilities/Rehabilitations, Refugee, Homeless, Adult Protective and Juvenile Justice Services.

In the past, commitments to service planning and coordination among District agencies has been formalized in Memoranda of Understanding (MOUs) and inter-agency initiatives. As the intensity of these coordination efforts has increased, there has been a corresponding demand for review of information systems with the intent of supporting the collaborative endeavors and streamlining processes for staff. neither of which completely eliminates the need for paper or in-person reporting. Understanding that integration needs to be enabled by technology, the last year has seen the emergence of a number of technological strategies to enhance data sharing activities between District agencies. These planning efforts have focused on several initiatives under the DMCYFE, including the Neighborhood Places community access planning, SafetyNet strategy and the Transforming Schools initiatives. The new onsite services at the Family Court are being planned in the context of these service improvement initiatives.

3.3.1 <u>Department of Human Services - Family Service Administration (FSA)</u>

The Family Service Administration (FSA) provides a variety of social services, including assessment, case management and crisis intervention, to individuals in the District who are considered vulnerable. Adult Protective Services, the largest division of FSA, is responsible for the investigation of abuse, neglect, and exploitation of vulnerable (e.g., frail elderly or disabled) District adults by a third party. FSA

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also oversees programs addressing domestic violence, teen parents and teen pregnancy prevention, the homeless, people who live in poverty and are served through the Community Services Block Grant, and refugee resettlement.

FSA Interaction with the Family Court: While each program within FSA may have interactions with the Family Court, none of the programs interact on a frequent enough basis to require automated interfaces in the first phase of integration planning between the District and the Family Court.

3.3.2   Department of Human Services - Office of Early Childhood Development (OECD)

The DHS Office of Early Childhood Development (OECD) provides support for District children who are five years of age or younger. OECD works with other public and private child and family advocacy organizations to provide services and care for these young children. OECD also works to provide access to before and after school services for eligible children up to age 13. Included under the umbrella of DHS-OECD is the Early Intervention Program (DCEIP), which interacts with other agencies on an ad-hoc committee basis (i.e., no computerized data exchange occurs). These agencies include DC Public Schools and Maternal and Child Health Services.

OECD Interaction with the Family Court: In addition to providing on-site childcare for individuals utilizing the Court, OECD responds to Court orders that require their involvement. OECD accepts referrals by the Court for those individuals needing their assistance in securing child care services. OECD helps parents find childcare and, when necessary, helps fund that care through the childcare subsidy system.

3.3.3   Department of Human Services – Income Maintenance Administration (IMA)

The DHS Income Maintenance Administration (IMA) determines the eligibility of District residents to receive public assistance benefits, including TANF, Medicaid and Food Stamps. The IMA then administers these benefits in accordance with Federal and District guidelines. IMA seeks to promote economic independence and helps low income adults become self-sufficient through employment and participation in work-related activities.

IMA Interaction with the Family Court: There are only limited interactions between IMA and the Court, mostly occurring in cases where IMA is required to perform eligibility assessment for a client of the Court. However, as the front door to many critical District social welfare programs, and also as the keeper of the most extensive central repository of District citizen information in its ACEDS database, it is important that

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IMA administrators be included in planning District and Court strategies for short-term and long-term system integration.

3.3.4   Department of Human Services - Mental Retardation and Developmental Disabilities Administration (MRDDA)

The DHS Mental Retardation and Developmental Disabilities Administration (MRDDA) oversees the provision of services for individuals suffering from mental retardation or other developmental disabilities. Services are delivered by a network of providers offering a range of activities, therapies, and personal care in a variety of settings. MRDDA consumers include individuals who function relatively independently in the community as well as others who are more dependent on their caregivers.

MRDDA Interaction with the Family Court: Generally, referrals to MRDDA for new consumers come from other District agencies (e.g., DCPS, YSA). MRDDA would benefit from information regarding client, legal guardian, and/or service provider interaction with the Family Court, especially in cases regarding allegations of abuse or neglect. This information would assist MRDDA in providing the consumer with a Safe from Harm environment, supported employment, and placement into the most integrated setting.

3.3.5   Department of Human Services - Youth Service Administration (YSA)

The DHS Youth Services Administration (YSA) is the District's primary juvenile justice system. YSA provides a continuum of services in secure institutions and community-based settings. YSA oversees pre-trial and pre-dispositional secure and non-secure detention services to youth charged with delinquent offenses or as Persons in Need of Services/Supervision (PINS). YSA also provides secure confinement, residential placements, and aftercare supervision and services for committed youth.   YSA operates the Oak Hill Youth Center, a secure facility housing both male and female residents committed, or awaiting trial/disposition, for juvenile offenses.   DC Public Schools operates Oak Hill Academy for the youth residing at Oak Hill.

YSA Interaction with the Family Court: All of YSA's youth are court-involved.   YSA is responsible for supervising youth pending trial and/or disposition, and for providing treatment, supervision and services to all youth committed to DHS by the Court. YSA is responsible for case management and supervision of all committed youth, and is required to appear in Court for hearings regarding all committed youth to report on progress. YSA currently has five staff members located at the Superior Court to serve as resources to the Court regarding YSA's available services and processes, as well as to retrieve critical information fro

YSA staff. Often times, youth are receiving pretrial/pre-dispositional services from YSA and the Superior Court Social Services Division simultaneously.

YSA is notified of youth in need of their services either by the Family Court or by Court Social Services. When a juvenile is put on probation, he or she is assigned a Court probation officer who is not a staff person of YSA. If a youth does not perform according to Court probation standards, he or she is re-entered into the Court system with the potential of being convicted of a juvenile crime. If convicted, the youth will is assigned to YSA. A YSA representative is required to attend any juvenile deposition. YSA works through the authority of court orders issued after disposition, that assign juveniles to receive YSA care and treatment.

With such an integrated-level of involvement with the Family Court, YSA requires automated information exchange with the Court, which currently does not occur. Data needed by YSA from the Court include basic case history, disposition attorneys, assigned court officers, youth and family names and addresses, court dates, court order information, court order placement and services, court and personal file from the specific Social File, and Interstate Compact forms. YSA needs to be better informed when a custody order for an absconded youth has been issued.

3.4   Department of Health (DOH)

The mission of the Department of Health (DOH) is to provide health assessment, health quality assurance, promotion, prevention and treatment, emergency services, and policy and leadership to residents and visitors of the District so they can be healthy and safe. DOH has begun shifting its focus from the delivery of direct services to health assessment, policy development, and quality assurance. Accordingly, the District's health care delivery system is changing to a system that emphasizes prevention, primary care, and case management to improve the health of residents. DOH promotes and enhances healthy families, environments and communities throughout the District. DOH is also responsible for health-related licensing and maintenance of vital statistics records for the District.

3.4.1   <u>Department of Health - Addiction Prevention and Recovery Administration (APRA)</u>

The (DOH) Addiction Prevention and Recovery Administration (APRA) provides services to District residents that focus on the prevention of alcohol, tobacco and other drug dependencies. APRA also provides post-dependency services that assist addicted individuals to maintain sobriety and return to an addiction-free life. APRA interacts with the District's Department of Mental Health by funding a dual diagnosis program and referring individuals to the DMH program for appropriate treatment and services.

CFSA provides APRA with funding to assist with CFSA client treatment. APRA provides specific services and programs for pregnant women and women with children. APRA also provides treatment assessments to include residential services, maintenance or abstinence services.

APRA Interaction with the Family Court: APRA provides all of the detoxification services required by the Court for both adults and juveniles. Under current practice, APRA generally receives service need notification via a phone call or facsimile from the Court requesting pre-trial or post-trial treatment for drugs or alcohol addiction. When APRA works with criminal justice clients, they are required to closely track activity. There are two court-required tracking forms: one that verifies arrival at APRA and one that verifies that the individual has started the detoxification program. A hard copy of these forms is sent back to the Court to validate that the individual is seeking their required treatment. APRA has also provided in-jail assessments that are required as a condition of parole. Assessments are then sent to the appropriate judge and necessary action is taken (i.e., APRA picks up the detained individual and takes him or her to the appropriate facility to take part in a detoxification program). Additionally, the Juvenile Court has direct access to the Psychiatric Institute of Washington for the detoxification of juveniles. Direct access eliminates the potential for the youth to get lost en route to the program, or opting to not receive their required services. APRA would like to have the ability to receive electronic notification of court orders. In addition, APRA would find it beneficial to have information pertaining to the individual that they are servicing, such as criminal activity charges pending from other states or basic initial screening information that could be gathered by the Court and forwarded.

3.4.2   Department of Health - Vital Records Division of the State Center for Health Statistics

The DOH Vital Records Division of the State Center for Health Statistics Administration is responsible for collecting, preserving and analyzing information on births, deaths, and other vital statistics in the District of Columbia. The Center serves as the District's state agency for providing official health data to other federal, state or local agencies and acts as a clearinghouse for the District's vital records.

Vital Records Interaction with the Family Court: The Vital Records Division has minimal electronic exchange with the Court. They do receive and file documents from the Court regarding birth, death, paternity or some other types of records. By law, many of these documents must be filed in paper form and retained under tightly controlled procedures. Occasionally Vital Records must provide the Court with some of this document in response to a subpoena. It is not clear what electronic exchange might be desired and/or authorized in the foreseeable future.

3.5   Office of Corporation Counsel (OCC)

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The Office of the Corporation Counsel (OCC) conducts all law business for the District and handles all suits made by and against the government including state and local matters. Divisions within OCC that must be considered when developing information sharing technologies between the District and the Court include the following:

Office of Public Protection and Enforcement (OPPE)- Abuse and Neglect Section: Attorneys within this section are stationed at CFSA, report dually to CFSA and OCC, and represent the District in matters related to child abuse and neglect. As explained later in this report, the District has implemented a major reform of legal support to CFSA as part of the consent order ending the Receivership.

OPPE- Domestic Violence Section: Attorneys from within this section staff the U.S. Attorney's Domestic Violence Intake Center and provide advice, services and legal representation for the District in cases related to domestic violence.

OPPE-Criminal Division- Juvenile Section: Attorneys from this section assess the cases of juveniles charged with a crime and determine whether to charge them or offer pre-trial diversion. If a juvenile is charged, attorneys from this section will represent the District in the Court.

OPPE-Mental Health Division: The Mental Health Division provides litigation and advice support services to the Department of Mental Health and the Mental Retardation and Developmental Disabilities Administration.

Child Support Enforcement Division (CSED): The Child Support Enforcement Division performs all legal and programmatic functions associated with the District government's child support program. This Division provides services to assist District families by establishing paternity, locating absent parents, establishing child and medical support orders, reviewing and modifying child support orders, and enforcing delinquent child support orders. In addition, the Child Support Enforcement Division recoups Temporary Assistance for Needy Family payments, Title IV-D foster care payments, or Medicaid payments made to families when a non-custodial parent is not paying child support.

OCC Interaction with the Family Court: As the District's legal representative in the Family Court, OCC has virtually unlimited interactions with the Court. Hundreds of documents are exchanged daily, all in hard-copy format. The Child Support Enforcement System (CSES) supports direct exchange of some case information with the Courts but there are limitations related to authorized types of users. OCC is experimenting with the use of an online system for filing Court forms. On a daily basis, information

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regarding schedules, dispositions, and case updates needs to be exchanged with the Court. With the exception of OCC inquiry-access into the Court scheduling system, OCC has not had a means of regular exchange of information with the Courts. The Court dispositions of cases are being entered manually by OCC into the new ProLaw system.

3.6   Metropolitan Police Department (MPD)

As the primary District police force, the MPD is responsible for the investigation of crimes and the protection of the safety and well being of residents and visitors of the city. The Youth and Preventive Services Division and MPD's Records Division are the most critical units within MPD in regards to improved interactions between District agencies and the Family Court.

Youth and Preventive Services Division: The mission of the Youth and Preventive Services Division is to provide the Department with the expertise and special training needed for proper handling of police cases involving juveniles and interfamily matters. The goal is to reduce crime against children, reduce the cycle of violence, and coordinate services to the city's youth and families by implementing effective strategies regarding juveniles in terms of victimization, enhance education and socialization.

To that end, the Family Violence and Child Protection Unit was created under Youth and Preventive Services Division. This unit was established to address child victimization in the District and to appropriately address the needs of these children during a criminal investigation into allegations of child physical or sexual abuse. Statutory law in the District of Columbia requires specific responses by MPD, in collaboration with CFSA, to reports involving child physical or sexual abuse, with MPD responsible for the criminal investigation. To clarify the responsibility required of the Family Violence and Child Protection Unit officers, guidelines have been established setting forth a uniform way of responding to child physical and sexual abuse complaints/allegations.

Records Division: The Records Division of MPD maintains local criminal history information on individuals and manages linkages to the FBI's National Crime Information Center (NCIC). MPD's Washington Area Law Enforcement System (WALES), and its linkage to NCIC, is discussed more fully in the section 5 of this report. Timely access to local and FBI criminal history information maintained and managed by MPD's Records Division on individuals involved as parties in Family Court proceedings, as well as potential guardians, foster parents and adoptive parents is critical to protecting the safety of children in the child welfare system. Accordingly, the DMCYFE, with the support of the Deputy Mayor for Public Safety and Chief Ramsey, is working very closely with MPD's Records Division and Youth and Preventive Services Division to arrange specialized training for a limited number of investigators of

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CFSA's Diligent Search Unit who would be authorized to conduct the necessary criminal background checks for critical CFSA functions. In addition, continued collaboration with MPD's Records Division will be extremely important to facilitating expedited processes for fulfilling one of the District's mandates under the Child and Youth Health and Safety Omnibus Act. The Child and Youth Health and Safety Omnibus Act requires criminal background checks for all District agency employees and volunteers who provide direct services to children and youth. The Williams Administration has advocated strongly in support of the emergency, temporary, and permanent versions of this legislation.

MPD Interaction with the Family Court: MPD's interaction with a client of the Court is transactional, i.e., a client is processed through the MPD system in a standardized manner with little case management activity occurring unless an investigation is required. Reflective of this short-term relationship, MPD interactions with the Court itself are transactional, as well. MPD files numerous forms with OCC and the Court depending on the type of case. All of these forms are filed via hard copy. Due to the sensitive nature of Family Court cases and the need to interpret case events accurately, MPD officers are often requested to meet with OCC attorneys and to appear in Court to offer further explanation of events they may have witnessed.

Aided by the fact that much of the information exchanged between the Court and MPD is not restricted by confidentiality regulations, limited automated information exchanges have been able to be developed. There is an automated interface to exchange booking information between the two agencies. MPD is also able to download case scheduling information from the Court into its Time and Attendance Court Information System (TACIS) system. The latter ability will be enhanced with an Automated Voice Response system in June 2002, allowing MPD officers to call in and learn their next court date.

3.7   District of Columbia Public Schools (DCPS)

The District of Columbia Public Schools (DCPS) provide pre-kindergarten through grade 12 educational opportunities to children residing in the District of Columbia. DCPS serves children and individuals from 3 years to 22 years of age.

DCPS supports a special education program that provides students with disabilities the opportunity to learn and actively participate in their neighborhood school along with their non-disabled peers. The Special Education Division is designed to address the unique learning needs of the individual child with disabilities in an effort to overcome difficulties with that child's development. Many services (i.e., social work services, physical therapy, psychological services) are available to qualified students. This past spring, the District launched a Multidisciplinary Task Force on Special Education, a cross-functional task

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force co-chaired by the Mayor and the Chair of the Council's Committee on Education, Libraries and Recreation for the purpose of serving as a collaborative body of District agencies that will monitor, support, and implement Special Education reform within DCPS.

DCPS Interaction with the Family Court: DCPS has limited interaction with the Superior Court and there is currently no formal information sharing between the Court and the schools. The DCPS must be made aware of students' pending court dates and the need for DCPS participation, if any. There are no consistent mechanisms or processes in place for the delivery of court orders, court schedules, or case information to the DCPS, all of which would be valued by the Schools.

3.8   District of Columbia Housing Authority (DCHA)

The District of Columbia Housing Authority (DCHA) provides housing for qualified low-income individuals and families. Under an interagency coordination effort with CFSA, DCHA offers a Family Unification Program (FUP). This program provides housing choice vouchers to families for whom lack of adequate housing is a primary factor in the separation, or the threat of imminent separation of children from their families, and to youth 18 to 21 years old who left foster care at age 16 or older and lack adequate housing. In addition, DCHA has also established preference structures for its Public Housing, Housing Choice Voucher, and Section 8 Programs for individuals and families who are on DCHA's existing waiting list and are experiencing a housing emergency. Each program has a preference structure, which has its own set of criteria for selection.   Preferences under the Public Housing Program are extracted from the housing emergency category, according to the date and time an application is filed, while the Section 8 preference structure is based purely on a ranking system.

DCHA Interaction with the Family Court:
Currently, DCHA only has direct interaction with the Family Court when a judge of the Family Court specifically takes an interest in the housing status of an individual or family in an individual or family in an action or proceeding before the Family Court.

4   District Health and Human Services Improvement Strategy

Enhanced collaboration among District health and human service agencies serving the city's most vulnerable residents has been a strategic priority for the Mayor since his first year in office. Upon taking office in 1999, the Mayor established a government-wide priority for ensuring competent and effective management of agencies to fulfill their operational mandates. At the same time, through the Deputy Mayor structure, the Mayor set a major focus on cross-agency collaboration to improve services, particularly to the city's most vulnerable children and families. And through the Office of the Chief

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Technology Officer, Mayor Williams ensured the establishment of information technology infrastructure and leadership in assuring citywide implementation of electronic information management to support services and resource management. The Mayor's improvement priorities are evidenced by:

Recruitment world-class administrators: The Mayor has recruited experienced leaders to fill key District government social services positions. New directors and administrators appointed in DHS, CFSA, and DMH have implemented dramatic and effective reforms within each of these critical agencies, under the leadership of the DMCYFE.

Institution of a culture of accountability: Each District agency is required to publicly establish a set of measurable, operational goals each year. It is considered the personal responsibility of each agency director to ensure that these goals are met. In addition, each agency is required to provide monthly performance reports to its respective Deputy Mayor.

Exiting of receiverships: Within the health and human services cluster under leadership of the DMCYFE, the District government has regained direct management responsibility for CFSA and DMH in the past year.

4.1   Organizational Reform – Safe Passages Children and Youth Action Planning

The Safe Passages Children and Youth Action Plan was developed to improve child and youth well-being. The plan reflects the need to ensure that District children and youth have safe passages through childhood and healthy transitions into adulthood. Safe Passages serves as the guiding policy initiative in the development of stronger organizations, processes and technology throughout the District health and human services system. Safe Passages service improvement initiatives include the following:

- ***D.C. Youth Investment Collaborative***- Established by the Mayor, this organization is charged with creating and maintaining a process to guide the policy vision for the provision of child, youth, and family services in the District of Columbia government. The Collaborative will ensure a seamless approach to the development of policy, planning and service delivery. The following organizations are represented on the Collaborative: CFSA, OCC, Court Services and Offender Supervision Agency, Department of Employment Services (DOES), DOH, DHS, Department of Housing and Community Development (DHCD), the District Public Libraries, Office of the Chief Medical Examiner, DMH, MPD, the District Department of Parks and Recreation, the Superior Court, DCPS, State Education Office (SEO), US Attorney's Office, the District City Council, and the University of the District of Columbia. . A

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subcommittee of the Collaborative will be convened to address issues relating to the development of SPIS.

- ***Neighborhood Places***- Consistent with Best Practice research that indicates social services delivery is most effective when provided by co-located agencies with a neighborhood focus, the District is committed to opening centers in neighborhoods where public services will be available and integrated across agency lines. By restructuring service delivery, the District seeks to build a system that is results-focused, family-driven, neighborhood-based, and fully accountable to all citizens and stakeholders. The establishment of Neighborhood Places will continue the District shift to health and human services that are proactive and preventive, rather than reactive and crisis-oriented.

- ***Child Safety Net Coordination System (CSNCS)*** – CSNCS is an integrated, multidisciplinary case management strategy designed by the DMCYFE and health and human services agency leadership to serve children, families or individuals who are in crisis or have complex needs. The system is designed to leverage single-agency resources through tools, processes and organizational controls to provide comprehensive, coordinated services from a cross-section of District government agencies and affiliates. The goal is to create a system where every participating agency can serve as an entry point for multi-need individuals and families. The target population to be serviced within the pilot of CSNCS is being finalized. Court-involved youth between the ages of 10 and 14 who are at risk for institutional or out-of-state residential placement have been identified as part of the pilot service population.

- ***Transforming (T-9) Schools*** – This initiative is a program to rapidly and effectively transform nine identified low-performing District schools to high-performing, child-centered, family- and community-focused learning centers. The transformations rely on full collaboration of students, parents, extended families, local and central school administrators, as well as city agencies and community-based organizations wrapping health and human services around DCPS students.

The DMCYFE has consistently recognized the need to support Safe Passages service initiatives with integrated information technology. The Safe Passages Information System was originally conceived as an electronic database to combine and rationalize data from all the District's agencies that provide services to children, including DCPS. As the Safe Passages services vision has expanded and technological advances have continued, the Safe Passages Information System concept evolved into the

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Safe Passages Information Suite (SPIS). As will be discussed in the IT sections of this report, SPIS has become the cornerstone of the Mayor's plan for integration of District health and human services computer systems, as well as for integration between the District and Family Court computer systems.

4.2   Organizational Reform – Health and Human Services City-Wide Service Improvements

Recognizing the importance of cross-functional health and human service delivery, the Mayor and DMCYFE have supported and implored District policy-makers to formalize linkages across organizational boundaries through inter-agency legislative initiatives. The Mayor and DMCYFE have personally provided the executive leadership required to leverage the resultant interagency organizations into important policy reforms that benefit the District's most vulnerable health and human service recipients. The Williams Administration has advocated for, and supported the passage by the Council of, the following of legislation:

- The Improved Child Abuse Investigations Amendment Act of 2002. This legislation will require review and investigation by a multidisciplinary investigation team (MDIT) comprised of representatives of MPD, CFSA, OCC, the U.S. Attorney's Office (USAO), and the Children's Advocacy Center in cases of child sexual abuse. An MDIT may also include a representative of DCPS, mental health practitioners, medical personnel, child development specialists, victim counselors, and experts in the treatment and assessment of substance abuse.

- The Civil Commitment of Citizens with Mental Retardation Emergency Amendment Act of 2002.   This legislation would authorize the civil commitment of mentally retarded individuals who are found incompetent to stand trial and pose a danger to the community. The Mayor proposed, and the Council accepted, an amendment to the bill on first reading that will require DHS-MRRDA to work collaboratively with DMH to determine and make a recommendation to the Court concerning the appropriate treatment/services and placement of individuals dually diagnosed with mental retardation and mental illness.

- The Special Education Task Force Emergency Act of 2002, introduced by Council member Chavous. This legislation creates a Multidisciplinary Task Force on Special Education, for the purpose of establishing a collaborative body of District agencies that will monitor, support, and implement Special Education reform within DCPS. The Task Force will be co-chaired by the Mayor and the Chair of the Committee on Education, Libraries and Recreation for the Council of the District of Columbia. The DMCYFE will also serve as a member of the Task Force.

4.3   Organizational Reform - Child Welfare Improvements

Ensuring the safety of the District's children and creating a timelier path for abused and neglected children to grow up in permanent and loving families are critical goals of the Family Court and the Williams Administration.   However, as the Congress has recognized, neither the Family Court nor CFSA can accomplish these goals working alone.   The Court, CFSA, and key partner agencies within District government as well as non-governmental community partners and other metropolitan-area governments must work together to accomplish these critical outcomes. So far, the implementation of the Family Court Act has engaged a wide array of partners in reforming old practices for the benefit of children.   Important examples of collaborative reform in the child welfare area include:

Restructuring of Legal Services within CFSA and OCC.   Over the past year, the District has dramatically expanded and restructured the entire structure for legal support for CFSA, consistent with the framework in the consent order that enabled CFSA to return from Federal Court Receivership.   In the past, in an agency with as many as 1,500 court hearings a month regarding abused and neglected children, the work of social workers was supported by only 16 abuse and neglect attorneys.   As a result social workers were generally not represented in court and, when they were, there was rarely time for attorneys and social workers to prepare together and provide the court with high quality information.   As part of the Consent Agreement, the District committed to more than doubling the number of attorneys and reforming the structure of our legal services to improve communication and problem-solving between social workers and attorneys, resulting in higher quality information for the court and better results for children.

Collaboration across agencies and the Court regarding transfer of cases into the Family Court. As part of the implementation of the Family Court legislation, key stakeholders have come together to determine those cases best suited for an immediate transfer into the Family Court. The Deputy Mayor's Office, representatives of CFSA and other health and human services agencies, and representatives of the Family Court developed criteria for cases where the transfer from a judge outside the Family Court to one of the new Family Court magistrate judges could make an immediate difference to the child's chances of growing up in a permanent family.   CFSA took responsibility for computer searches to identify cases that met the criteria.   In particular, the team chose to focus on cases where a child has been living for a long time in a kinship setting that appears to be well-suited for adoption or guardianship and cases where older children appeared to be remaining in care primarily for service needs, such as mental health or retardation services, rather than for ongoing issues with abuse or neglect.   In those latter cases, the

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team saw the potential for the appropriate agencies to work together and link with the Family Court in order to arrange the right services for the child and lead to closure of court and CFSA involvement.

Teaming Social Workers with Judges. The District and the Family Court are also interested in considering the long-run possibility of teaming groups of social workers with judges. Further research is needed. Across the country, Family Courts have made different decisions about this question, in part because it is often best for families to assign social workers geographically, so that they are closely-linked to community supports, yet this may not be the appropriate approach for assigning judges. In order to provide information that will help guide this important longer-term decision, the District and the Family Court decided to pilot the assignment of social workers as well as attorneys to partner with judicial teams, in an effort to learn about the benefits to case practice and therefore to children. CFSA and the Family Court are working together to create a pilot, by identifying specific units of social workers who had a large number of cases transferred into the Family Court and then assigning those cases to just one of the new Magistrate Judges. The goal of this pilot team is to help children move more promptly to permanency – particularly, for the children in these units, to adoption and subsidized guardianship – through the shared work on these cases. As part of the pilot, CFSA has committed to conducting a permanency staffing on each case, with a focus on assessing whether and with what supports the kin placement can become permanent.

4.4   Organizational Reform - Outcome Measures for Children's Safety, Permanence, and Well-being

CFSA has focused with particular intensity on court-mandated outcome measures during this first year out of Federal Court receivership. In addition to the Mayor's and DMCYFE's strategic focus on outcome measures across multiple agencies to ensure that children and youth have safe passages through childhood and health transitions into adulthood, the Federal Court consent agreement requires improved performance across an array of specific measures to end the probationary period. Furthermore, the US Department of Health and Human Services requires improvement on key outcome measures as part of the Program Improvement Plan resulting from the Child and Family Services Review. CSFA's Director brings a personal focus on outcome measurement in child welfare from her work at HHS designing the new, outcome-focused review structure. As a result, during this first year, the agency has strengthened the capacity of its information system to provide the key data; improved the skills of managers and supervisors in using data; focused agency-wide attention on measures of both outcomes and selected process steps that are critical to achieving good outcomes; and shown measurable improvement in selected outcome areas. It has become clear from this work that collaboration with the Court will be

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critical in taking the next steps both to improve the quality of data regarding outcomes and to improve the outcomes themselves in child abuse and neglect matters.

As a result of the close relationship that has developed between CFSA and the Superior Court through Family Court implementation, CFSA and the Court met this spring to discuss the specific goal for increasing finalized adoptions for children that has been set for CFSA as a part of the Federal Court's assessment of the agency's first year out of Receivership. This goal, 328 finalized adoptions in the twelve months ending May 31, 2002, represents a substantial increase over the previous twelve months. The detailed discussions between CFSA and the Court resulted in the identification of steps in the paper flow between the agency and the Court that could be streamlined. As a result, it appears – although the count is still being verified – that the ambitious goal has been achieved.

Both the Court and CFSA have identified the area of outcome measurement as one where ongoing collaborative work is critical. Early discussions have already begun, and the plan is to share information immediately, while also planning for longer-term, more sophisticated strategies as the information systems are enhanced and integration is implemented.

5   Analysis of the current district health and human services information technology environment

Analysis of the District health and human services information technology (IT) environment begins with the individual computer systems that support their respective agencies, then progresses to IT that crosses some organizational boundaries, and leads to the recognition of an environment being prepared for increased implementation of city-wide systems. This progression of IT scope mirrors a progression of IT complexity that the District has been steadily pursuing over the past three years. Thus for this strategy has resulted in the creation of District in-house infrastructure, management processes, IT experience and expertise, and the implementation of individual technological components prepared to support system-wide integration through SPIS.

5.1   Individual Agency IT Environment

The District has disparate information systems within the health and human services agencies. In some cases, decades-long court receivership or oversight contributed to an establishment of a multitude of administrative and operating structures with corresponding divergent information system supports. These systems are built on a number of different technology platforms ranging from early technology "legacy" systems built on hierarchical databases to advanced systems built on relational databases with web

technology interfaces. Some advanced systems incorporate complex workflow and messaging systems, including a full suite of financial, management, and data and document storage and transmission capabilities.

Understanding the individual IT components in place at each agency is an essential first-step to planning integration strategies. There is a wide disparity among District health and human services agencies in how well they are supported by electronic information systems. Where systems do exist, they have usually been designed, implemented and optimized around the unique business purpose, processes and reporting requirements of the individual agency being supported. Exchange of electronic information and among agencies requires extensive custom development. Some agencies have been using sophisticated IT systems for several years. Others have partial systems with limited functionality. Some systems are built on old technology and require extensive work to maintain and upgrade them. Yet no single system can service the broad range of service and administrative management and reporting needs of their organization.

CFSA IT: CFSA utilizes a comprehensive case management and provider management system called FACES. FACES is a Statewide Automated Child Welfare Information System (SACWIS), and as such is governed by Federal statutes created with the goal of promoting case management and consistent reporting. FACES has designed and developed over a several year period and implemented over two years ago. FACES is a unified case management and reporting application for all of CFSA, enabling documentation covering the full life cycle from initial investigations of abuse and neglect to the placement of children into permanency. It is a client/server application built with PowerBuilder on an Oracle database and features the standard Windows-based array of features (cascading windows, pull-down menus, hot buttons, tab directory structure, et al). The server is located at the CFSA offices and data is assimilated in real-time (Cold back-up is performed on a weekly basis). The FACES contractor (Deloitte Consulting) maintains a continuous team on-site for training, support and incremental upgrades.

DMH IT: DMH has begun to deploy eCura, a COTS case management solution that will eventually support a wide range of integrated case management functions, including case scheduling, event notifications, file management, data entry, custom forms, referrals, and billing. To date, DMH is using eCura to establish and maintain data associated with a newly restructured network of providers. The system allows direct automated exchange of information with external service providers.

The main eCura system is the client-server technology based upon Microsoft Visual Studio (Visual Basic, Visual C++, and Visual FoxPro) and a Microsoft SQL Server database. One module, intended for the use

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of providers, is browser-based written in HTML and JavaScript. ECura components will be migrated to Microsoft .NET by 2003.

DHS/FSA IT: The Adult Protective Services Information System (APSIS) is a case management application used by FSA built on a Microsoft Access Database with a Visual Basic desktop user interface. The system supports entry of customer attributes and questionnaire responses into on-line forms. The forms can be subsequently searched, updated, and retrieved.   APSIS supports tracking of customer interactions, recall of case action histories, and development of reports.

DHS/OECD IT: OECD maintains paper files for all cases. Hard copies of relevant documents (e.g., birth certificates, health records) are kept on file, while all other data is maintained in an automated system. OECD inputs demographic information about the children that receive subsidy into AutoCon, an Access based database. Their system automatically generates payments to providers. Providers are tied in to electronic attendance records and are paid per child assigned to their facility. AutoCon also has reporting capability for federal government funding purposes, provider information (center based or family-owned), and 1099 generation capability. OECD bought hardware for 90 percent of its providers, and a server is in place for on-line data transmission, although this functionality is not used on a regular basis.

Clients are referred to OECD through a variety of mechanisms. Many agencies, including IMA, CFSA, Vocational Rehabilitation, DMH, MRDDA, Department of Employment Services, the Bureau of Training and Employment, and the courts refer people directly to OECD.   The Early Intervention Program (DCEIP) is utilizing a new software program that has been recently developed. The new software includes the ability to input demographics and track cases. DCEIP expects that their system will soon be integrated within the information system capabilities of OECD.

DHS/IMA IT: The IMA Automatic Client Eligibility Determination System (ACEDS) manages eligibility determination for key District's mandated health and welfare programs.   ACEDS provides eligibility determination through interfaces at limited levels with the Social Security Administration system, FACES, CSES, and the DCPS system. Despite the fact that it is built on an aging technology platform, ACEDS likely collects and stores the city's most extensive database on residents receiving human services from the District government.

The system was adapted for the District from a system already in use in South Carolina. The ACEDS technology is written in the Natural programming language for the ADABAS database on an IBM OS/390 data center mainframe. . It is likely that ACEDS will have to be updated or replaced within the next 10 years due to its technological limitations

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DHS/MRDDA IT: MRDDA Computer Information System (MCIS) is a custom-built case management application for MRDDA customers. MCIS supports incident tracking, consumer demographic information, and elements of service planning and provider management. Providers have online access for reporting incidents. In addition, numerous management report formats have been provided. MCIS does not interface with any other systems. It is a web-enabled system, based on Microsoft SQL Server database and is written with static HTML and dynamic ASP pages. The system is accessible in secure encrypted mode through SSL protocol. MCIS runs on a single Windows 2000 server machine.

DHS/YSA IT: YSA has implemented the Juvenile Information Management System (JIMS) for case management and youth tracking. Basic demographic and screening information, as well as individual service plans, case running notes, legal information, court reports, treatment information, and placement information are maintained in each youth's electronic file. In addition to individual files, JIM also maintains rosters and logs by placements and legal status, facilitates supervisory oversight, and permits some basic statistical analysis. JIM is built on a Lotus Notes platform and has limited relational capabilities.

DOH/APRA IT: APRA has two IT systems for case file management. The first is a legacy system running on IBM AS/400 written in COBOL. The new system is Internet-browser-based and runs on a Windows NT server. The new system has a Microsoft SQL Server database and is written in Microsoft Visual C++ programming language. APRA is gradually phasing out the legacy system in favor of the web-based system. The web-based system is planned for expanded use with third party providers once the Department of Health approves external access to the system.

DOH/Vital Records IT: Vital Records uses its own database to maintain vital record data. DOH has point-to-point T1 connections between DOH headquarters and other DOH sites over the DC WAN. Due to strict confidentiality regulations, DOH does not enable external access to the Vital Records database. The DOH Vital Records' Birth Reporting System is a legacy system using a an archaic interface. It runs on an IBM mainframe, is written in COBOL programming language, and uses VSAM flat files to store its data records. The system has no current integration links to any other system.

OCC IT: *ProLaw:* OCC is currently deploying a commercial off-the-shelf client server application from ProLaw Software. ProLaw is a legal services automated "matter management system" (MMS) that provides legal case file input and tracking, document management, contact management, accounting, and billing functions and will facilitate information sharing between attorneys. The ProLaw MMS also provides calendaring functions that include ticklers for court, meetings and document due dates.

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ProLaw MMS will support OCC by providing information on how resources are being used and enabling performance measurement through accurate data collection and reporting functions. It will promote the use of consistent legal processes through OCC's major divisions. The ProLaw MMS will help improve communication and teamwork; it will automate the reporting process and provide easier access to data while providing greater visibility into OCC accomplishments.

By the end of July 2002, OCC will have over 300 ProLaw users. The OCC user base includes OCC legal staff supporting Child Abuse and Neglect, Child Support, Juvenile and Domestic Violence sections. OCC is running the ProLaw MMS on a clustered quad processor server with MS SQL 2000 server database. The client portion of ProLaw is installed on each OCC users' PC running Microsoft Windows. Currently the ProLaw System at OCC has no integration links to other District or court automated systems.

Child Support Enforcement System: OCC-CSED maintains a common system with the Superior Court. OCC case workers, attorneys, and Superior Court users access the same system, called the Child Support Enforcement system. The system is owned and managed by OCC. It has approximately 300 end-users including the courts, MPD, DHS IV-A, and OCC Domestic Violence. System functions include case file management, court petition processing, notice to parties, and forms preparation. The system is accessed via an Attachment command-oriented user interface running on each user PC. The system is a mature legacy COTS package, running on TRUE64 Unix with a Universe database. The system is written in Universe Basic programming language. The system needs to be replaced by another shared system in the short-term. OCC CSED and the Family Court need to determine if replacement of Child Support Enforcement system will fall under the IJIS program.

MPD IT: The primary information system used by the Metropolitan Police Department is Washington Area Law Enforcement Systems (WALES). WALES is a collection of legacy records management applications for MPD. On-line records stored in WALES include a master names index, court histories, active case files, gun registry, boat registry, article files, warrants, complaints, police identification files and FBI query responses. For these records, WALES supports data capture, storage, retrieval, and query operations. WALES supports linkage to FBI's National Crime Information Center (NCIC). WALES also links to the CJIS system for sharing arrest records in a common file area. Currently, WALES applications are hosted on an IBM 9121-320 mainframe with an IBM 3270 user interface. WALES is accessible to both fixed and wireless users through Mobile Data Computers installed in MPD patrol cars.

A request for proposal (RFP) has been issued to seek a developer for the new Police Reporting and Information Delivery System (PRIDE). PRIDE will provide officers throughout all of MPD with data regarding criminal histories, warrants, arrests, incidents, calls for service, stolen property, registrations,

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permits, and other necessary records. MPD officers will be linked with national criminal justice databases and information from the U.S. Attorney's Office and other law enforcement agencies. PRIDE, which is scheduled to be implemented in early 2004, is the appropriate target for the Court in its long-term integration planning with MPD.

DCPS IT: Student information is captured in the schools information system from both an aggregate and individual perspective. However, DCPS does not give out information that could potentially identify an individual child. The school uses the SIS (Student Information System) to track the children in the school system. SIS currently has no direct linkages to the Courts or other social services agencies. SIS is a People Oriented Information Systems for Education (POISE) product from Campus America. SIS is a Basic language program that runs on a VAX-VMS operating system. SIS is the official student accounting system for the DC Public Schools. All enrollment, withdrawal, scheduling, attendance, grade reporting, demographic and disciplinary activities are tracked and recorded in this system. The system provides each student a unique identification number that remains with the student throughout his or her DCPS career. Personnel at the local school perform all data entry. Most federal and local reporting requirements are satisfied via SIS.

A new Academic Performance Data System (ADPS) is under development and will be implemented at the beginning of the new school year (SY2002-2003). This system is being developed to allow designated DCPS personnel access to standardized testing & assessment data regarding specific students; this data can be aggregated by classroom and school. The system also will provide for public access to certain aggregate data via the Web. Authorized DCPS personnel will be able to access individual student data via the Web using industry standard network security and encryption protocols. Besides providing the basis for compliance with the new federal education law, the APDS ensures immediate access to information regarding student performance on national standardized tests. This will help teachers to have ready access to the information needed to ensure appropriate program placement and continuity as students move from grade to grade or school to school.

The Special Education Division of DCPS utilizes the Special Education Tracking System (SETS) to track special education student data. SETS tracks all activities related to the Special Education process. To ensure compliance with IDEA 97 and the March 10 agreement with the Secretary of Education, SETS tracks the timelines and results for all actions relating to initial evaluations and placements; re-evaluations; due process hearings; hearing determinations; and related services. The number of individuals that have access to the system is limited, as disclosure of the information must be well contained. SETS uses Microsoft technologies, including Microsoft SQL Server 2000 and Microsoft Access 2000.

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SIS and SETS are linked via middle-ware to ensure ID number integrity and that SIS is automatically updated with the special education data it needs.

Due to confidentiality concerns, DCPS does not share any personal information about their students with other agencies. There is a need for DCPS to receive notification of court activity when DCPS individuals are required to be a party in a student's court case. DCPS has experienced a lack of court scheduling information, resulting in missed court appearances and scheduling conflicts and challenges.

DCPS information sharing needs to be addressed carefully because of confidentiality issues (IDEA, FERPA). The DMCYFE, through the Children and Youth Investment Collaborative, is presently working with OCC to address the confidentiality issues surrounding the Safe Passages Information Suite. There is presently a mayoral committee addressing the confidentiality restrictions impacting Safe Passages data sharing collaboration.

DCHA IT: Currently DCHA is using a legacy system from Emphasis Computer Solutions which is about 25 years old and is COBOL-based. DCHA currently has a Windows NT system environment with 500 PC's and terminal servers. DCHA is planning to replace its legacy system with a Windows-based system called Elite. The Elite system will have relational database (SQL Server or Oracle). The Elite system will be deployed in FY2004.

5.2 Evolution Toward City-wide Health and Human Services IT Integration

For the past four years, the Office of the Chief Technology Officer (OCTO) has built a solid information technology infrastructure to support the business functions and documentation systems of the District government. Initially OCTO promoted solid agency-level IT capability. Increasingly, the emphasis is being placed on integration of information across agencies. In so doing, OCTO assures adherence to a consistent strategy:[5]

- Ensure effectiveness of information management for agency operations basic operations

- Establish the infrastructure and standards for information systems citywide

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5This section is intended to provide a general framework for IT planning within the District. More detailed District IT project-planning steps and project management structures are presented in Section 7 of this report.

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- Support selection of "best practice" commercial applications and customized to meet needs of District agencies.

- Initiate multi-agency system integration projects to support cross-agency operations

- Initiate citywide systems

In establishing basic IT operations standards, OCTO has ensured that fundamental technological requirements are provided to each District agency, including reliable phone service, local area networks (LAN) connectivity and email access. OCTO has also built a secure and flexible DC wide area network (WAN) to be the backbone of future technological initiatives.

Consistent with the view that cross-agency integration is only as strong as the weakest component, OCTO continues to assist in implementing reliable intra-agency information management systems. These projects are complemented by business process reengineering, data migration, training, maintenance plans, and other activities required to ensure successful implementation and utilization.

Since some agencies are further along the continuum of technological maturity than others, there are opportunities for incremental integration among a few partners in advance of embarking on city-wide programs. Integration projects with a limited set of users and data continue to teach the District valuable lessons in preparation for more aggressive, city-wide integration programs that are being initiated.

OCTO adheres to the mantra of "plan big, start small, ramp fast" in its strategic focus. Spending extra time and money on planning at the outset of large integration projects is a risk mitigation technique that (a) creates confidence that the correct technological solution is being pursued; (b) gains "buy-in" from the key stakeholders who later can be counted on for continued support if obstacles are encountered during implementation; and (c) creates a firm vision and plan that progress can be measured against. These techniques have resulted in successful implementation of the DC Web Portal and a city-wide Geographic Information System (GIS). Over the past year, the same formula has been used in the Administrative Systems Modernization Program (ASMP), a $65 million citywide project to integrate the back-office functionality of all administrative support agencies across the District. The planning strategies, technological architecture and project management techniques employed by ASMP will serve as the groundwork in planning for the Safe Passages Information Suite (SPIS), which is the fundamental District strategy for the integration of health and human services systems.

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5.3   Information Sharing Across Organizational Boundaries: Justice Information System (JUSTIS)

Successful implementation of individual agency IT systems enables organizations to take the next step in technological maturity. The next level involves automated information sharing across organizational boundaries with partner agencies. The District, through its Criminal Justice Coordinating Council, is in the process of implementing an integrated, citywide Justice Information System (JUSTIS) in stages. JUSTIS allows key criminal justice and related organizations to view limited information from each other's systems on a "need to know", inquiry-only basis.

JUSTIS is a custom application constructed using mostly Microsoft software technologies, including Windows 2000 Advanced Server, Internet Information Server, SQL Server and Visual Studio. The configuration includes Compaq server PCs associated with each agency contributing data to JUSTIS. The data stored on these agency servers is updated from agency operational systems. JUSTIS users can query against this information through Internet-browsers. Queries are distributed to agency JUSTIS servers and the results data is collected on a JUSTIS hub server, which hosts the query application and user interface.

The proof-of-concept phase of the JUSTIS project is complete.   Current participating organizations contributing data fields include the following:

- Superior Court of the District of Columbia
- Office of Corporation Counsel
- Metropolitan Police Department
- Pretrial Services Agency
- Court Services and Offender Supervision Agency
- District of Columbia Department of Corrections
- Office of the United States Attorney for the District of Columbia
- Office of the District of Columbia Corrections Trustee
- Public Defender Service
- United States Parole Commission
- Department of Human Services' Youth Services Administration
- United States Bureau of Prisons
- United States Probation Office

There are a minimal number of data keys shared by the majority of agencies (e.g. docket/case numbers). JUSTIS users include groups that must maintain legal separation, such as police, public defenders, and judges. Thus the types of information that can be shared among all these groups are inherently limited. In many instances, the key benefit of JUSTIS is the binary acknowledgement of whether or not an agency has a record of servicing a particular individual. If so, any further information exchange between two agencies would occur by other means (i.e., initiated by a phone call).

The JUSTIS team is currently expanding its family of participating agencies and increasing the system functionality to include secure email messaging and push technologies to automatically notify users of specific case events (e.g., arrest, warrant, case disposition). The JUSTIS team is also interested in assigning universal tracking numbers to individuals to replace the current over-reliance on the Police Department arrest number assigned an individual subsequent to arrest. This strategy would need to be coordinated with the larger IT strategy for integrating District information systems with the Family Court. This initiative will be reviewed for implications in the context of the District-Family Court IT integration called for in the Family Court Act to evaluate whether a single ID system can be implemented to serve multiple District-wide functions.

While the system provides some important opportunities for information sharing, it does not appear to provide the full framework for the long-term solution to integration of District health and human services agencies. Drivers of this decision include the following:

- JUSTIS is a strong supplemental tool for users to perform "background checks" on cases, but is not intended to be a primary case management system, especially for health and human services.

- JUSTIS is a criminal information system that would be hard-pressed to reinvent itself as a social service system since the rules governing exchange of information could vary significantly between criminal and non-criminal cases.

- The "view only" characteristics of the system do not support two-way exchange of information. Its reliance on users to query and pull information currently limits its potential as a fundamental integration solution.

- CFSA has recently agreed to participate in JUSTIS and anticipates very specific benefits, such as access to information that will make it easier to locate parents who are named in abuse or neglect reports, or who need to be notified of an intent to terminate parental rights.

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At the same time, CFSA participation in JUSTIS clearly is complementary to rather than contradictory of the continued development of SPIS to meet integration needs.

5.4 Integration Within The District Health And Human Services Information Systems: Safe Passages Information Suite (SPIS)

5.4.1 A Brief History Of SPIS

The developing a prototype to demonstrate the feasibility of an integrated human services information system was an early initiative of the *Safe Passages Youth and Action Planning* process. During FY 2000 and 2001, the District embarked on an ambitious effort to develop a data warehouse that was named the "Safe Passages Information System" (SPIS). SPIS would incorporate data from several key agencies of the District, in order to enable service and utilization analysis, improve planning and resource allocation and enable improved case management. Key data sets from the DC Public Schools, the Department of Human Services and the Department of Health were identified for the prototype development. An analysis of the databases and available data elements was completed and an initial data warehouse schema was designed and built. A prototype "front end" was developed to enable agency leaders and staff to evaluate the usability of such a data warehouse. Completion of the data warehouse was delayed while issues of confidentiality were resolved.

During FY 2002, the OCTO and the DMCYFE re-conceptualized SPIS to embrace a more far-reaching technical capability that would go beyond supporting reporting and analytic data but would also support cross-agency case management functions. SPIS was recast as the Safe Passages Information *Suite* to capture the expectation that it will enable a more broad information sharing capability. A conceptual design for the Safe Passages Information Suite is attached as *Appendix III: SPIS Functional Architecture Overview.* The design depicts the District's intent to provide staff with the capability to conduct service planning and monitoring, in a context informed by accurate and timely information regarding child and family needs and available resources, with access to key information from multiple agencies serving the child and family. Data resulting from these transactions would be collected and analyzed for planning and monitoring purposes. At each level and point in the system, proper protections would be created to assure that the only information available to the user is data that has been designated as appropriate to that function and specific user's role.

Under the aegis of SPIS, the DMCYFE and OCTO have also collaborated with other agencies to extend and enhance their information capabilities in order to facilitate cross-agency information sharing. The goal is continued dissemination of the integration ideals of the program wherever possible. During FY

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2002, OCTO collaborated with DHS to enable access to information on community and District human service-related resources. The intent was to create a Community Resources Information Repository (CRIR). The repository is based on data collected and maintained by AnswersPlease, DHS' 24-hour information "hotline." This office provides fulltime confidential telephone response for queries regarding service needs from people in the community. OCTO has built a web-enabled query capability for users to access the database via a web browser. The system was designed to enable its access through various portals, in addition to the primary access via the AnswersPlease website, which is part of the District government's agency website structure. The long-term plan for SPIS is to enable access to these resources and related application capability through a common portal access.

5.4.2   SPIS System Integration – A Case Example

A specific example of Safe Passages best practices being put to action has been in the development of a proposed case management information system for the Family Violence and Child Protection Unit within the Youth and Preventive Services Division of MPD (MPD-YD). Currently, MPD-YD is primarily paper-based in its record keeping and information exchange, utilizing an Access database to record only basic case information. CFSA and MPD-YD conduct coordinated but separate investigations in those child abuse and neglect cases where MPD-YD is considering criminal prosecution, particularly in cases of sexual abuse and serious physical abuse. There is the potential to share a great deal of information between the two agencies in such cases. Recognizing the opportunity for integration when the Council of the District of Columbia requested that MPD-YD purchase a case management system, the OCTO agreed to develop the business requirements for a MPD-YD case management system. A cursory review of the industry suggested that it would be difficult to identify a COTS application that met the MPD-YD's needs. In addition, introduction of a new application into MPD didn't seem advisable given the plans of MPD to procure the new PRIDE system. Since MPD-YD shared many/most of its clients with CFSA, it seemed that it might be feasible to use the FACES infrastructure as the platform on which to build the MPD-YD functionality. The best practice research, business process analysis, technology evaluation and business requirements for a MPD-YD FACES Module were completed in February 2002, with funding from the Safe Passages Information System capitol funds. The source of funding for the system build has yet to be determined. As responsibilities and operational process change between and among CFSA, MPD-YD and the Courts, design initiatives such as this will require updating before moving to the build and implementation stages.

In designing the proposed CFSA – MPD/YD interface, OCTO worked with the agencies and the system designers to conceptualize and design new information exchange functionality that could be applicable to other health and human services agency groups. Although specifics may change as a result of new

business procedures for CFSA and MPD being put more fully in place over the past months, examples of functionality incorporated in the initial design include the following:

- *Inter-agency data exchange*: Certain intake data from cases referred from the CFSA Hotline to MPD-YD could be automatically transferred into the MPD-YD case record.

- *Inter-agency data verification*: Objective case information (aliases, addresses, siblings, phone numbers) could be automatically cross-checked between agencies and any inconsistencies would be highlighted by the system.

- *Document management*: CFSA and MPD-YD forms and reports could potentially be stored and exchanged electronically within FACES.

- *Real-time notification of status changes*: The existing tickler system within FACES could be leveraged to inform CFSA case workers of the results of MPD-YD criminal investigations. Similarly, notifications from MPD-YD regarding case actions or status could result in "alerts" viewed by CFSA staff.

- *Search Capability*: Depending on a review of what access should be available to whom under confidentiality statutes, an enhanced search capability could be designed for both agencies to enable workers with greater flexibility in detecting if a client has a previous history within the CFSA or MPD-YD system.

- *Reporting Capabilities*: Both pre-designed and ad hoc reports could be created within the system, allowing MPD-YD leadership to assess organizational performance and conduct trend analyses.

Although it has not moved beyond the design stage, this project demonstrates a commitment to interlinked processes and data exchange, concepts that the DMCYFE and OCTO want to promulgate throughout the District health and human service system. Such linkages would also enable desired exchanges with the Family Court.

Projects like this demonstrate the potential benefits of enhancing and extending existing platforms and applications to meet new or unmet operational needs. They also support improved coordination in service management between and among agencies. They also reduce the managerial challenges of

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maintaining multiple special use applications. At the same time, the MPD-YD FACES Project also demonstrated the difficulty in designing and building seamless data exchange across organizational boundaries. The development of the business requirements and technological design was an arduous, resource-intensive process requiring several management checkpoints and legal clarifications, even though there were very positive supportive factors including a well-contained scope, a limited number of user groups, a history of a shared information exchange and business process between agencies, and potential to use an existing application platform. Even as the design phase neared completion, the structure of the business processes between CFSA and MPD-YD was undergoing radical redefinition. Until such processes and issues are clarified and stabilized, work on these types of projects will need to be structured in such a way that development can progress in phases with maximum emphasis on re-usable components.

5.4.3 Functionality of SPIS

The District IT integration strategy is exemplified in the Safe Passages Information Suite. SPIS will service the three primary groups of stakeholders within the District social service system as follows:

- Case Managers: Enable the automated exchange of individual case management records to provide a cross-functional view of a person's needs and the services already being received; enable case managers to access accurate information on service providers and community services needed by their clients;

- Agency Administrators: Provide aggregate, flexible, powerful reporting capabilities that leverage data across multiple District agency databases in order to monitor effectiveness of service delivery and perform trend analysis

- District Residents: Provide increased access to information on available public and private social services.

There are four primary components of SPIS driving its functionality:

- **Common Identifier for the receipt of District services***: In order to cross-match data from disparate health and human services databases, it is necessary to create a common identifier for a person receiving District government services. This identifier will be a unique autogenerated number that will be assigned to each person registered for District supported services. Existing identifiers such as the Medicaid number or social security number are not

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useable because they are not "all inclusive." The use of the common identifier will allow for aggregate cross-agency tracking and reporting, and facilitate case information sharing. The assignment of a common identifier has the potential of being misunderstood as a risk to confidentiality. To mitigate the real and perceived risks, the design and implementation of common identifier must be handled carefully. Tight security and confidentiality assurances must be built into SPIS to ensure that individual service history across District agencies cannot be accessed inappropriately.

- **SPIS Data Marts**: Data marts containing basic case information will be established for each participating health and human service program or participating agency where common information is needed by more than one agency. The data marts will keep each of the individual agency's data separate. Data from the separate data marts can be aggregated to create analytical, District-wide reports. Users with extensive access to cross-functional data must be limited to a select group and all must be thoroughly trained regarding security, privacy, and ethics policies for the District. Mechanisms must be put in place to ensure that strategic and analytical reporting can only occur at the aggregate level. One such mechanism would be the requirement that a report cannot return results if the query produces a data set below a certain threshold (e.g., three (3) records). Such a safety mechanism would ensure that an individual could not be targeted by a specific search.

- **Case Management Information Sharing Portal (CMISP):** As the IT security solution is extended for case worker access, the capability to enable individual case records to be viewed by case managers sharing responsibility for service planning and management for an individual, will be possible through encoded business rules. CMISP will enable users to view case/service management activities of clients in other District agencies, based on specifically identified IT database "roles and rights" based on "need to know." A user will be able to utilize an Internet browser to query the SPIS Data Marts over the DC WAN for secure, controlled access to individual case files and information. This tool has the potential to be upgraded to share reports and images over the network. This query will represent a one-way data exchange, i.e., a user from one agency cannot enter or edit data in another agency's database.

- **Community Resource Information Repository**: As previously noted, DHS is implementing an Internet-accessible interface to the District's most comprehensive database of social service resources and supports. This information is gathered and maintained by staff of the DHS AnswersPlease operation. AnswersPlease provides 24 hour/ 7 day per week telephone

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information and referral services, using this repository as its primary resource tool. "AnswersPlease Online" (http://AnswersPlease.dc.gov) will give users access to location and availability of service resources through simple search mechanisms similar in functionality to Internet search engines. The system is designed for use by both the public and District case workers. A specialized level of access will also be provided to District case workers and administrators requiring information levels not available to the general public. The system will map resource locations in relation to user-specified "home" or "base" location. This is one of the first applications built by the District using the new city-wide GIS system. It has potential to serve as an essential community resource tool for emergency service planning.

5.4.4   Safe Passages Information Suite Architecture

The architecture for the Safe Passages Information Suite is provided in *Appendix IV: SPIS Target Architecture*.   The complex structure will be enabled by Enterprise Application Integration (EAI) middleware and anchored by data marts built on Oracle databases.   SPIS will create a secure, flexible technological environment that meets the District's most critical integration needs.

The Safe Passages Information Suite is built with several distinct components that combine to deliver flexible, secure health and human services information. A key strength of the SPIS architecture is that it can be achieved with minimal disruption of the current District social service delivery and support systems. Components of the SPIS Architecture include the following:

- *Middleware- Commercial EAI Tool:* Given the disparate nature of agency legacy systems, EAI is a logical component of the SPIS architecture for its ability to synchronize case file attributes across systems and bridge multiple hardware and software system differences. A one-time set-up of architecture allows for continuous evolution of integration driven by the coding of new business rules to drive data exchange. This linkage represents a higher-level of maintainable integration between systems compared to hard-coded custom integration. EAI will be able to adapt to the changing District health and human service system and accommodate increased complexity of business process integration, enabling the addition of new systems, data sets and data elements as they come online. EAI adapters have excellent notification and messaging capabilities, enabling stronger communication and fundamental case event information exchange across agency boundaries. If a case status changes in one system, notification of the status change can be automatically sent to a user in another system.

- *Back-end- SPIS Data Marts:* The SPIS data marts will contain shareable case records and event records (e.g., court schedules). These records can be security partitioned for each agency through the creation of virtual private databases (VIPs). Through EAI technology, the records can be updated in near-real-time.

- *On-line Analysis Process*: Combined with On-line Analysis Process (OLAP), the centralized data store will give sophisticated end-users the capability for on-demand reporting, trend analysis, and other advanced reports and analyses based upon aggregate social services data. To manage social services in accordance with the Family Court Act, social services OLAP analysts will be needed to convert the raw health and human services data into useful information for managing, decision-making, and reporting. The District has had excellent success in deploying OLAP within other functional areas, such as accounting and finance. In the late 1990's, the District deployed the Chief Financial Officer (CFO)'s Executive Information System (EIS), which was initially intended to be a tool for a handful of high-level decision makers. Today, there are over 250 qualified OLAP analysts in the District who use EIS full-time to generate on-demand reports. OLAP is now considered a mission-critical capability for the District in the accounting and finance area.

- *Role-Based Access Controls (RBAC)* and EAI business rules will be utilized to tightly control exchange of individual records. IT security will be a key priority in every phase of SPIS development. User access rights and privileges will be analyzed, modeled, and implemented using RBAC. Security assurances will be defined and regularly audited with respect to the RBAC privileges, user authentication procedures, EAI rules, and logged queries.

5.4.5   Strategic Approach to the Design of SPIS

The District based its plans for the business design of SPIS on functional best practice research[6]. In the analysis of the operations of nationally recognized municipal health and human service programs, the District recognized that it was not likely to mimic an entire system operation. A strategy of feature-based analysis was employed, extracting the differentiating features of best practice programs and envisioning their applicability within the District environment, and then re-engineering the features to perform even better. The resultant business design (SPIS) is expected to be well within the functionality of typical studied systems, indicating moderate to low technical risk.

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6 District functional best practice research is presented in Case Management Best Practices, *Office of the Chief Technology Office*r (March 30, 2001).

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Subsequent to the functional design process, the District applied similarly stringent best practice standards upon the technical design phase. The overall process for architecture design has been guided by basic District technological selection criteria:

- Seek state-of-the-art, flexible technologies with a high-level of functionality

- Temper the evaluation of innovative technologies by a fundamental wariness to protect the District inadvertently becoming a test-site for "bleeding edge" (i.e., unproven) technologies

- Perform research on existing technologies used as "market leading products" in related applications (i.e., focus on e-Government, healthcare and, social services)

- Exploit reuse of technology throughout the District whenever feasible

- Include IT security considerations from the system inception to mitigate risks and concerns about agency data sharing

- Minimize the risk of disruption to critical business processes during implementation

- Balance trade-offs between functionality versus implementation and maintenance costs

OCTO and the District health and human services, education and related agencies will complete a phased design and evaluation of potential technological architectures based on the above criteria.[7] It was determined that the EAI architecture similar to that designed for the District's ASMP project represented mature, flexible, reusable technology applicable to the integration of disparate social service systems within the District.

5.4.6   SPIS Challenge: Security and Control of Data

The technological challenges of implementing SPIS are potentially less complex than the political challenges of centrally collecting meaningful agency data to support robust case management and reporting capabilities. Data confidentiality and security must be the paramount concern during each phase of SPIS design and implementation. Strategies to ensure a secure environment include the following:

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7 See *Appendix III: SPIS Functional Architecture Overview* and *Appendix IV: SPIS Target Architecture*

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- Limited users (OLAP < 100; Inquiry of Case Data < 1000);

- Strict EAI Business Rules Development to control inter-agency data exchange;

- State-of-the-art Role-Based Access Controls (RBAC)

- Partitioned data marts designed as Oracle Virtual Private Databases;

- Secure operation across the DC WAN;

- Strong user training programs in security, privacy and ethics policies, accompanied by annual review and signing of user agreements;

- Queries involving cross-agency access will be recorded and regularly audited for privacy assurance, with potential policy violations documented and conveyed to the appropriate authorities.

5.5   General Challenges Impacting IT Integration Across the District Human Services Environment

As previously noted, the District health and human services environment presents a number of challenges that transcend technology. The following factors must be managed continuously during the technological lifecycle:

- *Differentiation of Traditional State versus Local Governance:* The District of Columbia is unique in its governance structure. In many agencies, the traditional roles of city, local, and state government are held in a single administration. Managerial attention must be divided between the immediate, short-term service needs of District residents and the high-level planning, policy-making, resource allocation, standard setting, performance evaluation and monitoring of overall agency objectives, trend analysis and research, and long-term visioning. Information systems must be able to support both high-level (state planning and resource allocation) and operational level (local – service management documentation and analytic functions). Most industry-standard applications assume functioning at one or the other level but not both.

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- *Compliance with Court Orders:* CFSA, DMH, DHS/MRDDA, DHS/YSA and OCC-CSED are among the District agencies that must evaluate the compliance of major policy decisions against court ordered mandates. Professional practices also mandate and restrict certain informational exchanges, both in person and through documentation.

- *Limited resources with a wide-range of priorities:* Each District health and human services agency under the DMCYFE is committed to improving cross-agency collaboration, especially where supported by electronic information exchange. However, integration with the Family Court is just one of many strategic priorities being navigated in parallel. Continuous intra-agency technological improvements (e.g., CFSA reform, eCura implementation at DMH, FACES upgrades, MPD PRIDE planning, a new ACEDS system) need to be managed within each agency as well as across agencies impacted by their new system changes. Continued improvement of the IT infrastructure in support of improved services for the District will require major efforts to begin to enable cross-functional communication of information that is presently specialized solely to individual business functions. At the same time, adherence to multiple federal and local legislative mandates such as compliance with the Health Information Portability and Accountability Act (HIPAA) may require extensive resources to mitigate.

- *Data Confidentiality Requirements:* The District is not unlike other jurisdictions in terms of the challenges related to privacy and confidentiality constraints in information sharing endemic within the health and human services fields. Data confidentiality constraints can side-line even the most carefully planned project. Access to school-based information is constrained by the federal Family Educational Rights and Privacy Act of 1974 (FERPA), which mandates privacy of student educational records. Special Education information is constrained by the regulations that govern this program, inhibiting the ready exchange of information among agencies sharing responsibility for the child being served under the program. Grey areas surrounding legislated confidentiality requirements pose particularly compelling challenges because of the risk of litigation they raise. The lowering of technological barriers between agency systems must be accompanied by an increase in confidence in the data security mechanisms in place. The process of increasing the amount of information crossing organizational barriers within the District will be done carefully, with a fundamental respect for a person's right to privacy.

- *Data Consistency:* As is typical with most IT integration projects, the District will need to overcome differences in how existing applications have structured their data. At the field

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level, the problem often manifests itself in the storage of a name (one field vs. separate fields for first, MI, last), address, and other key identifiers. However, within the disparate universe of health and human services, the problem takes on a more fundamental difference in data structure. In order to have integrated case management, agreements need to be reached on what defines a "case". MPD and OCC define each incident as a case and assign separate tracking numbers, even if the same client is involved. In contrast, CFSA stores all information on a case under a case ID number based on the mother's name. Other agencies keep case files labeled under the name of the person receiving services. The development of a common identifier is a necessary step to integrate social service IT systems in the District. Once the fundamental challenges regarding definition of a "case" and development of common identifiers have been addressed, District leaders and IT representatives must begin the construction of a data dictionary. With disparate business processes and isolated technological development, each agency, for example, has its own definition of when a case is active versus being inactive versus being closed.

The District recognizes the complexity of these challenges. Nonetheless, the District is committed to moving forward to resolve or surmount these barriers through legislative, regulatory, budgetary and operational policies and strategies. OCTO and the District agencies collaborating with the Family Court will find solutions that enable increasingly effective and efficient exchanges among themselves and with the Court to assure optimal care and support for City residents.

6 PLAN FOR INTEGRATION OF DISTRICT COMPUTER SYSTEMS WITH THE FAMILY COURT COMPUTER SYSTEMS

The ultimate goal for District health and human services IT is improved management of services received by children, families and individuals across health and human services organizational boundaries, supported by robust case management information sharing. As outlined in the previous section, the District strategy to move towards this ideal is the Safe Passages Information Suite. District leaders are carefully planning the design and implementation the SPIS while continuing to monitor technological advances and best practice definition that could better integrate District legacy systems. OCTO recognized that the Family Court Act involves agencies beyond the cluster of health and human service agencies. DC Public Schools, police, courts and housing are also included. Thus, the SPIS strategy must be adapted to accommodate this broadened mandate in order to satisfy the computer system integration required by the legislation.

6.1   Definition of IT Integration

In order to meet the expectations for the District IT Integration Plan mandated in the Family Court Act, the District has sought a Best Practice definition of IT integration as it relates to the Court. The National Consortium for Justice Information and Statistics (NCJIS) defines integration specific to justice agencies as follows:[8]

- Integration calls for agencies to assess the need for information systems to share information (defined as critical data, documents, images and key transactions) in an efficient, timely and secure manner. This need is defined by operational requirements and legislative mandates.

- Integrated systems should improve timely access to critical information, allowing multiple user access to the same information from various locations.

- Integrated systems should improve information quality by eliminating redundant data entry.

Applicable to the integration of District computer systems with Family Court systems, the NCJIS makes an important distinction between the definition of integration *within* agencies and the definition of integration *between* agencies. The integration objective within agencies is to eliminate duplicate data entry and allow for immediate and broad sharing of critical data. In apparent deference to the reality of independent operations, the NCJIS definition of integration between agencies is less stringent. In these cases, the primary objective of integration is viewed solely as the enabling of the sharing of critical information between systems.

6.2   Best Practice Research on Court IT Integration

Per standard practice within OCTO before developing technological strategies, the District performed Best Practice research in advance of determining its IT integration plan with the Family Court. Based on best practice information received from the Council for Court Excellence and general research, OCTO conducted phone-based surveys of other states' information integration efforts between court systems and social service agencies. Many states recognize the benefits that would be achieved through integrated data sharing. However, the research indicates that there are currently no best practice examples of robust, two-way electronic information exchange between social service agencies and court systems. Some states, such as Oregon, are similar to the District in that they are in the beginning stages of planning technological integration.

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[8] Reference "Integration in the Context of Justice Information Systems: A Common Understanding." *The National Consortium for Justice Information and Statistics*. (April 2000).

Though formal technological interfaces between disparate systems have not been created, many states have found other means to share information. One approach is to grant inquiry rights to the child welfare agency to access court juvenile on-line tracking systems. This access facilitates the sharing of court minute entries, calendars and history. In Arizona, delinquency and dependency information access is also provided to social service agencies. Georgia has recognized the need for better court access to social service information, providing authorized users within the courts access to case plan information. Georgia has accomplished this by requiring its agency case workers to enter service plans onto a shared, web-enabled application. Texas has accomplished similar results by granting judges restricted access to the child services database.

Generally the research revealed themes similar to those found currently within the District. Most states utilize multiple, incompatible systems. Implementations of new systems often are challenged by reluctant users resistant to change and intimidated by the perceived complexity of new technology. Not unexpectedly, these challenges often result in low system utilization. For instance, if a judge is required to go through multiple screens to access a case plan, it is not unusual for the judge to attempt to systematically bypass the IT and require hard copy case plans to be submitted for review. Claims of inadequate training are a regular occurrence across many states, not inconsistent with many technology implementations, whether within government or private industry. Many states cite inconsistent quality assurance programs, leading to a generalized mistrust of system security, application capability, and data integrity. Often, the ability of external personnel to gain system access appears to rely more heavily on effectively navigating a politicized environment than on demonstrating a legitimate need for information.

While the research has been more effective in reinforcing lessons the District has learned in the past regarding the need to carefully plan and manage technological implementations, feature-based analysis of court and social service integration across the country demonstrates some best practices in facilitating information sharing. These features are summarized in *Appendix V: Best Practice Research*.

6.3   Superior Court's Family Court IT Strategy: IJIS

In response to the limitations of the Court's series of eighteen different computer-based case management systems, the Court's Technology Committee launched the Integrated Justice Information System Project (IJIS) in October 1998. The intent of IJIS is to upgrade and enhance the Court's information management capabilities and establish an integrated information system for case management. The system is to support data collection and exchange within the Court for all case types

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including those processed by the Family Court. The system is also to include related agencies, including Law Enforcement and Corrections.[9]

The IJIS system integrates the multiple existing disparate information systems into one system.[10] The planned procurement anticipates availability of a COTS application to meet their needs. The Court is close to procuring IJIS and expects to begin implementation of the Family Court module in the fall of 2002. The Family Court will be the first District Court to be automated through IJIS. The Family Court module is scheduled to be in operation in September 2003, with a full system transition by the end of the fiscal year 2004. This transition will eliminate Family Court dependencies on the existing legacy systems.

Presently, there is minimal sharing of on-line information between District agencies and the Courts. Current agency/Court communication is primarily based upon paper forms. The Court has effectively gathered some sample, high-level business requirements from relevant District agencies (e.g., CFSA, MPD, and YSA) but will rely on the integration contractor to secure detailed business requirements for all IJIS stakeholders. The IJIS database will store case records (docket and jacket information), generate forms and orders resulting from Court events, enable reporting on performance metrics, and allow for the maintenance of calendars and scheduling of events by judge, by resource and by case. IJIS must consolidate cases to reflect the one family, one judge concept; it must put the social file on-line and must implement data sharing with various District agencies. With the exception of key paper documents (i.e., Search Warrants), IJIS should make major strides towards enabling a paperless environment.

IJIS will be a single point of integration for the District agencies' interface to the Courts. A single system simplifies the integration challenges for the Court and provides opportunities for reduced cost and higher quality of integration when compared to integration with multiple legacy systems. The Court recognizes that IJIS must be able to accept and provide data with external systems and that data sharing elements must be clearly defined. There is a firm requirement that IJIS will be an Oracle database, COTS case management package written in C++ or Java with Thin Client front end, and therefore, technological compatibility should not be an issue.[11] The District agencies must ensure that the SPIS architecture is compatible with IJIS so that it can be appropriately integrated. The District agencies must also prepare a backup plan in the event that the IJIS implementation is delayed.

6.4   Integration Priorities between District Agencies and the Court

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9 Reference "Integrated Justice Information System Executive Summary Vision Document." DC Superior Court. (June 2002)

10 See *Appendix VI: List of Existing Superior Court Applications*

11 Oracle database is an OCTO enterprise-wide standard.

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The District is committed to utilizing integrated technology to minimize duplicate data entry, enable efficient processes, and deliver near-real-time access to critical information across the Court and social service agencies. At the same time, the District has been realistic in developing this report to reflect the operational realities associated with integrating information systems among a large number of independent agencies with unique roles and responsibilities and existing technical capabilities.

The District and the Court will execute the plans for integration within an existing spirit of collaboration that simultaneously respects each agency's autonomous roles and responsibilities. Trade-offs may need to be made at times between the inherent benefits of sharing critical case information across organizational boundaries versus a client's fundamental right to privacy. Ultimately, the District and the Court have the same goal of best serving the needs and the rights of District children and families.

The exercise of completing an "as-is" analysis of the interactions between District agencies and the Court, and the on ongoing development of the SPIS and related system strategies, clearly reveals key themes in the needs and opportunities to technologically enable the information exchange between the District and the Family Court. Most District agencies repeatedly cite difficulties in determining hearing dates, learning of disposition status, and efficiently managing the receipt of court orders. All participants in the Court processes note the cumbersome exchange of hard-copy reports, petitions, forms and Court orders. Similarly, the District and the Court recognize the need for measurement and analysis of outcomes.

Based on these high-level requirements and its best practice research, as well as in consideration of the best practice definition of integration explained in Section 4.0 of this report, the District has identified the following five technological integration priorities for enhancing its collaboration with the Family Court:

- Calendar Management
- Notification
- Electronic Document Management
- Inquiry-level Sharing of Critical Case Information
- Reporting

Health and human service agencies cannot disrupt operations or cease pursuing continuous service improvement while long-term servicing strategies are implemented. It is important that the District and Family Court employ short-term and long-term integration strategies in parallel. In addition to driving the development of SPIS and IJIS, the five integration priorities present opportunities for incremental improvements in technologically enabled information sharing between the District and Family Court in the near-term.

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The five integration priorities are discussed in detail in the following sections of this report. Opportunities to improve integration prior to the implementation of IJIS in 2003 are addressed in the Short-term Integration section of the analyses. The short-term integration opportunities do not preclude the building of similar functionality in SPIS and/or IJIS, but instead recognize that some needs can be met at least in part through the rapid implementation of less complex technologies.

6.4.1   Calendar Management

Two important goals of Family Court reform are affected by the success of the calendar management function across the court and the social services agencies. First, the Family Court Act is intended to enable children to move more quickly towards permanent families, which requires timely scheduling of hearings and the presentation of complete and high quality information at those hearings so that judges can make decisions without delay. That in turn requires effective notification of agency participants – including YSA and CFSA caseworkers and OCC attorneys – so that they are fully aware in advance of the calendar and able to provide complete, high quality, and timely information to the court so that decision-making can occur. Second, by concentrating cases with a small number of judges, rather than the 60 judges who previously heard abuse and neglect proceedings, the Family Court Act is intended to allow agency caseworkers to have simpler Court schedules which will allow them spend less time waiting at Court and at hearings and more time in the field seeing children. Again, this goal depends on timely and accurate notification of court schedules. Overall, the scheduling congestion relieved by the reorganization of the Court can be further alleviated by the utilization of IT to ensure that all parties are aware of their court commitments and that potential scheduling conflicts are identified as quickly as possible.

Current Capabilities: Currently the MPD is able to download case scheduling information into its TACIS system. This will be enhanced with an Automated Voice Response system in June 2002, allowing MPD officers to call in and learn their next court date. OCC is currently implementing ProLaw, a case tracking system with calendaring capabilities. ProLaw does not currently interface with the Courts scheduling system.

Long-term Integration: Most District agencies recognize the need to have better schedule management coordination with the Courts. The District has requested that IJIS have robust Calendar Management and Calendar Inquiry Capabilities. It is preferable that IJIS Court calendar information interact directly with FACES and ProLaw. Other agencies with frequent court interactions could benefit from this integration of calendaring functions with the Court.

Short-term Integration: In the near-term, the District is working to build simple Court calendar inquiry capability for CFSA personnel. If successful, the capability could be expanded to other staff such as DHS/YSA case workers. One option being discussed is posting the Court information to a secure, searchable web-enabled database for CFSA staff to query directly.

6.4.2 **Notification**

Ensuring that all participating case workers are aware of current status, upcoming important dates or deadlines, new major events in a case, and case disposition are simple information exchange requirements that to-date have not been effectively managed across organizational boundaries within the District or the Court. Automated notification is a tremendous safeguard against events or deadlines from "falling through the cracks" and therefore a protection for children's safety. It is also key to prompt movement towards permanence, because when information is lost or delayed, time will be lost and decisions will have to be reconsidered, contributing to children's lingering in the system. While shared processes (e.g., MOUs) and integrated organizational designs (e.g., cross-functional Safety Net teams, co-located resources) are key to the District strategy to improve coordination between caseworkers, assuring stakeholders are up-to-date on case events through automatic notification would be a critical safeguard to ensuring coordination by the full range of case workers involved with a client of the District health and human services system.

Current Capabilities: The District has very few cross-agency notification mechanisms outside of the scheduling information provided in TACIS and ProLaw. Some agency-specific systems, such as FACES, have work management functions that serve as notification for events to specific users. These event notifications are either triggered by the system itself or manually entered by a system user and are typically limited to intra-agency information.

Long-term Integration: SPIS will be built with EAI architecture, which is inherently strong at brokering notification of events across disparate databases. Business rules can be incorporated to notify the appropriate caseworkers of status changes in another agency's database for individual cases that have been cross-referenced across agency boundaries. This will be especially prevalent in communication between the Family Court, CFSA, DHS/YSA, MPD and OCC.

Short-term Integration: Near-term enhancements to notification generally would require a case participant to query a system to learn of case events. For example, CFSA and the Court are working to give authorized Court personnel access to FACES. Another option is posting disposition information in

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JUSTIS and gaining access for CFSA workers. The feasibility of displaying Court case disposition within case records in FACES through batch data exchange is being studied.

There is not a strong business case to develop automated notification between the Court and agencies outside of YSA, CFSA, MPD and OCC prior to the implementation of SPIS and IJIS. However, the District will continue to seek opportunities to immediately enhance inter-agency notification. For example, the MPD-YD FACES Module business requirements call for real-time auto-notification of the MPD Watch Commander when a case is referred from the CFSA Hotline. In addition, the MPD-YD module notifies CFSA caseworkers regarding status change in cases shared between the agencies.

6.4.3 <u>Electronic Document Management</u>

The primary means by which District agencies communicate with the Court is via standardized form and report submission. MPD, OCC, CFSA, YSA, DMH and MRDDA all submit forms and reports to the Court. Further, each of the agencies must be aware of and comply with orders released by the Court. Electronic exchange of forms, reports and court orders would represent a significant enhancement of these critical information-sharing activities. By allowing agency staff to devote more time to the content of the reports and less time to the logistics of sharing them manually, electronic exchange would contribute significantly to the ability of caseworkers and attorneys to provide high quality and timely information for judicial decision-making, which in turn would promote judicial decisions that support children's safety and permanence. Automated exchange of court reports and court orders could also make a very big difference to the job experience of social workers, attorneys, and judges and potentially have a big effect on retention of qualified and motivated staff; the frustrations of the current system and the enormous amount of energy that goes into tracking down paper and identifying bottlenecks are a serious concern for all the professionals involved with children.

Current Capabilities: Most court documents, forms and reports are exchanged via hard copy. CFSA auto-generates many of its forms and reports through the FACES system, but must print them out to submit them to the Court. CFSA has been working actively with the Court to standardize the forms and reports that it must submit. Previously, many Family Court Division judges had individual preferences in the format and content of "standardized" reports that required CFSA workers to individually modify each submission subsequent to generating them within FACES. In OCC, CSES generates reports on scheduled cases for use by the Court, but such as is the case at CFSA, the CSED reports are submitted to the Court as hard copies.

Integration: Efforts to enable electronic exchange of documents and forms should begin immediately. The centralized intake structure included in Family Court reform should facilitate the rapid development of electronic document submission to the Court. Though near-term activities should not prohibit the development of document management capabilities within SPIS, there are a great number of flexible technological options that can be utilized to create this environment quickly. A cross-organizational team will be assembled to evaluate the technological options, which include the following:

- A simple extension to current practices would be to enable electronic forwarding of forms (e.g. from Microsoft Word), in addition to printed and fax transmission. Forwarding could be accomplished through existing email services. Forms could also be stored and retrieved in shared network file system directories. This option requires user discipline and consistency in file naming, file storage, and management of file security protections.

- Another option involves commercially available PC forms processing applications. A number of desktop forms packages are available that allow for PC-based forms design and data capture. The advantage of a PC-based application is cost and rapid deployment. The disadvantage of a desktop PC-based approach is the lack of forms storage, management, and retrieval.   Another disadvantage to this decentralized application option is the requirement to purchase, standardize, install, and upgrade the package on all user systems.

- To consolidate forms processing, a dedicated forms server application can provide unified forms management functions. Forms services have built-in security access controls. State of the art systems are Internet browser-based, meaning that the application can be accessed and upgraded with client PC installation and maintenance. In addition to storage and retrieval, many forms processing servers provide workflow capabilities, to enable tracking, approvals, notifications, and management of sequences of forms-driven service activities.

- Forms processing can be acquired through an Internet Application Service Provider (ASP). This is an on-line service that is hosted and maintained by a third party vendor. District employees can access the forms remotely across the Internet, complete, store, retrieve and forward the forms through a secure Internet login. A key advantage is the rapid launch of the application since hardware and software are already installed at the vendor-hosting site. Some disadvantages include Internet slowdowns and outages, and reliance of the vendor's success to keep the service up and running. The per-page charge for printing and downloading must be calculated in considering the short and long-term benefits of using this type of system.

6.4.4   Inquiry-level Sharing of Critical Case Information

Case information integration across agencies in its finest form would entail enabling viewing of relevant information from one agency system by a case worker sharing the same client in another agency. The caseworker would benefit from knowing both case history and the current services a client is receiving. For example, a DMH caseworker would gain valuable insight knowing that a person had appeared before Family Court in the past and appreciating the details regarding the outcome of the interaction. Similarly, a judge in Family Court would be better able to prepare for a case by understanding in advance of a hearing what services a family is already receiving through CFSA and DHS. However, transferring this type of critical case information from one agency's IT systems to another or others is an extremely aggressive goal. Several technological and legal hurdles need to be addressed. In the near-term, the District and Court must evaluate less complex options to allow caseworkers to view information created and stored by other   agencies. There is a large technological difference between "push" (transfer) and "pull" (view). "Push" technology requires rigid business rules and interfaces. "Pull" technologies involve a secondary IT system to query separate databases. Instead of having information automatically populate a caseworker's primary case management system, the case worker would open the secondary system and search for the relevant information.

Current Situation: Participating justice agencies will soon have access to limited background information sharing through the JUSTIS system. The information pertains to criminal information instead of social service information. CFSA leadership has just begun to participate in the JUSTIS program in order to be able to query basic case information, including that provided by the Superior Court. Other health and human service agencies may need access to the type of information shared through JUSTIS and could become partners in this initiative in the future. CFSA is also working to give some Court users limited, read-only access within FACES.

Long-term integration: SPIS will compile data from disparate systems into a centralized relational database, and via EAI business rules, distribute the data to selected systems. IJIS would exchange information with District health and social service agencies through SPIS. FACES and other databases would be primary exchangers of information within the system. A business requirement project is required to determine the data points that can be shared and the nature of the presentation of the data in each system (e.g., separate "Court Screen" in a FACES case file, similar to the "MPD Screen" proposed in the MPD-YD FACES Interface Business Requirements).

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Short-term integration: The scheduling/calendar, notification/messaging, and document management short-term integration plans will serve as a means to exchange the most important case management data while SPIS and IJIS are developed. If there are delays to the SPIS and IJIS projects, CFSA and the Court will study the potential of a direct interface between various judicial systems and FACES, potentially collecting and presenting Court case information within a separate "Court Screen" within FACES. If the Court requests, CFSA will study the potential of posting FACES case information to a secure, judicial web-site, though data sensitivity issues may preclude this from occurring.

6.4.5   Reporting

Ensuring positive outcomes for those receiving social services from the District of Columbia is a strategic priority for all organizations, especially DMCYFE, DHS/YSA, DHS/MRDDA, CFSA and the Family Court. Consistent with this priority, the DMCYFE and health and human services agencies have been working for the past two years to improve the measurement of key indicators of the performance of District services. Agencies query their respective databases on a monthly basis and compile statistical reports for the DMCYFE. As discussed previously, the DMCYFE has driven an effort to create the SPIS, a data warehouse to compile more complex, cross-agency, aggregate reports to track outcomes of the District's most vulnerable citizens. A similar process is taking place within the clusters under the other Deputy Mayors. Such reporting capability offers positive opportunities for correlating data with related reporting within the Court system.

In the context of the Family Court Act, a key set of indicators to pay particular attention to are the indicators that measure success under ASFA; for example, the average time from a child's entry into the system to a set of key milestones, including the desired outcome of permanence through reunification, guardianship, or adoption.

Current Situation: Challenges complying with Federal FERPA regulations persuaded the SPIS team to re-evaluate the effort shortly before the initial data load last year. Concurrently, it became apparent that since the SPIS initial design, there had been advances in technology, including the maturity of EAI middleware. In order to ensure that the limited SPIS capital budget is used most effectively, the SPIS team has suspended its efforts to load the data warehouse as originally conceived.

Long-term integration: The long-term vision of integrated reporting within the District health and human services system is to utilize EAI or equivalent technology to drive an Oracle database to enable cross-referencing records to enable cross-agency statistical reports with data from numerous agency databases. The system's infrastructure must be flexible enough that a database administrator could

program business rules to drive new types of reports in a relatively short period of time. This would enable District reporting to evolve over time with the needs and priorities of its citizens. The District will also consider how the latest data warehousing and business intelligence tools enable data collection and conversion to support complex reporting.   The IJIS RFP indicates that it will be built on a relational database platform, creating a valuable new source of performance statistics to match with those kept within the District government databases upon the inclusion of IJIS within SPIS. Developing meaningful indicators of District performance in the complex informational environment where many services are delivered outside city government requires a long-term approach to meaningful reporting and analytics capability.

Short-term integration: A potential option being discussed includes a secure web portal with links to canned, real-time queries of individual agency databases to give District leadership an accurate picture of current performance and trends in social service system performance. Similarly, these queries could be disseminated to selected management in order to provide an executive-level "dashboard"-type portal connection to reports of District performance on key indicators. CFSA intends to work with the Superior Court in the short-term to develop interim indicators of their joint performance in moving children through the milestones toward the ASFA goal of timely permanence. The integration for the near-term indicators will involve readily available basic technology. For example, adding the Court's ID number to relevant FACES records and replacing paper based tracking systems with EXCEL spreadsheets will facilitate the merging of FACES and Court data. The merged data can then be used to measure the elapsed time before children reach the various milestones such as home identified, legally free for adoption and final adoption order signed.   However, it is unlikely that integrated, cross-agency reports will be able to be automatically generated prior to the implementation of SPIS.

Issues: Cross-agency data tracking has legal constraints, data structure differences, and a need for common identifiers that all need to be mitigated during planning development. As discussed elsewhere in this report, the District is aware of issues impacting the long-term strategy and is prepared to address them as it progresses in the development process.

7   DISTRICT APPROACH for the development and implementation of spis

7.1   SPIS Program Management

A proposed program management structure for the development and implementation of SPIS is presented in *Appendix VII: Proposed Project Management Structure.* Adapted from the structure being used to manage the District's $65 million Administrative Services Modernization Program, the proposed

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SPIS structure will ensure a carefully planned and monitored implementation over the project lifecycle. Components of the management structure include the following:

- ***Executive Steering Committee***:   Co-chaired by the Chief Technology Officer and the DMCYFE, the Executive Steering Committee will consist of top-ranking District management. The Committee will ensure that the SPIS strategy is implemented effectively and efficiently, review PMO recommendations that have multi-agency or District-wide impact, and act as the dispute resolution body for inter-agency issues regarding SPIS that otherwise cannot be resolved.

- ***Executive Advisory Groups:***   The Child and Youth Investment Collaborative and other groups as identified by the Mayor will advise the Executive Steering Committee regarding strategic decisions impacting the vision and implementation of SPIS.   These groups will create critical, cross-functional management oversight and validation mechanisms to ensure that SPIS continues to be focused on effectively serving the District's most vulnerable children, families and individuals.

- ***OCTO Program Manager***:   The OCTO program manager is a locus of responsibility for the day-to-day progress of the overall SPIS program.   Program Management must establish business goals and objectives, mobilize team resources, and ultimately ensure that the SPIS vision is implemented.

- ***OCTO SPIS Program Management Office***:   The SPIS program management office (PMO) creates a centralized structure to support cross-agency collaboration and adherence to standards.   The PMO approves integration plans, measures business and systems performance, produces procurement documents, ensures that cross-system and cross-agency requirements are met, and provides expertise and quality assurance to project teams.

- ***Change Control Board***:   Consisting of cross-agency personnel from a variety of agency levels, the Change Control Board must approve major shifts in SPIS strategy recommended by the PMO.   The Change Control Board is a business-process oriented organization that ensures that the technological implementation is executed in support of processes rather than create the need to reverse engineer processes to support new technology.

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- *Agency Leadership Teams*: Ultimately, an individual agency is responsible to ensure that its unique integration and technical business requirements, confidentiality statutes, and operation objectives are being served effectively by the SPIS program. Each agency will have a SPIS leadership team, generally consisting of deputy director-level and chief information officer-level management.

- *Technical Requirements Team*: The Technical Requirements Team (TRT) will be a centralized, contracted team with government technology implementation experience. The TRT will ensure proper collection of technical requirements during the evaluation of existing IT and IT needs, as well as in the design of EAI triggers and adapters.

- *Business Integration Management*: Business Integration Management will be charged with ensuring that each of the functional goals of SPIS (e.g., reporting, case management information exchange) is being implemented as seamlessly as possible across the participating agencies. Essentially, Business Integration Management ensures that SPIS continues to fulfill its business objectives of enhancing automated information exchange across agencies within the District integration priorities, rather than merely duplicate existing IT capabilities with a more up-to-date architecture.

- *Architecture Review Board*: The Architecture Review Board ensures that technological selections throughout the project are consistent with centralize SPIS standards and recommendations so that future systems integration is facilitated.

7.2 Project Planning

The District recognizes that the design and implementation of SPIS in conjunction with the District's information system integration with the Family Court IJIS system will take a great deal of project planning and resources. OCTO has developed internal expertise in the planning and management of large technological projects, as evidenced in the launch of the District's ASMP. This internal expertise is being leveraged to move forward in executing the necessary next steps towards integration of selected information systems within the District's health and human services agencies to ensure that SPIS is optimized for timely integration with IJIS. A high-level catalog of program sub-projects and their components required for the multi-year SPIS implementation is presented in *Appendix VIII: SPIS Project Components.* Rolled-up fiscal year cost estimates for SPIS development and integration with the Family Court are provided in *Appendix IX: SPIS Project Estimates.* The information provided in both appendices is intended only to provide basis for the development of project funding strategies. As detailed in section

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7.2.2, more specific implementation planning and cost assessment activities are two of the immediate next steps in the SPIS program lifecycle.

7.2.1   Short-term Family Court Integration Strategies

While SPIS is the District long-term strategy for integration with the Family Court, Section 6.4 of this report notes several short-term opportunities to leverage readily available technology in support of integration priorities. Generally, these strategies involve point-to-point solutions that can be implemented relatively quickly. This project will seek to improve electronic document management, facilitate sharing of calendar information, and assist in sharing of basic case management information between the Family Court and key District human services agencies. The Family Court, OCTO, DMCYFE, CFSA, OCC and DHS/YSA will work together on these strategies over the next twelve months while SPIS and IJIS development proceeds in parallel.

7.2.2   Immediate SPIS Integration Projects

With IJIS development already underway, it is important that forward progress towards SPIS and Family Court Act goals does not slow while the District awaits specific identification of funding sources. The following two projects are the proposed immediate next steps towards cross-functional integration:

- ***SPIS Framework Development Project***: This project would begin to build specificity on the current SPIS vision through completion of the following tasks along the critical path towards cross-functional integration:

  - o   Facilitated sessions with agency management and front-line case workers, as well as with the Family Court IJIS team, to optimize the SPIS Framework;
  - o   Identification and prioritization of agencies and business processes that need to be supported by SPIS, both within the District and between the District and the Family Court;
  - o   Design and documentation of the overall "to-be" business environment;
  - o   Identification and sequencing of the specific plan/design/build projects that are required to implement SPIS and facilitate its integration with IJIS;
  - o   Completion of an infrastructure and software assessment of the "to-be" environment;
  - o   Calculation of a detailed cost analysis of SPIS and its integration with IJIS;
  - o   Documentation of a detailed four-year implementation plan for SPIS and its integration with IJIS.

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- **SPIS Pilot Program**: The primary objective of the SPIS Pilot Program would be rapid design and implementation of a two-agency version of SPIS with limited functionality. The target agencies for inclusion in the SPIS Pilot Program are CFSA and YSA. Key features of this program include:

  - Data loads from FACES and JIM into Oracle data marts;
  - Design of limited, secure case management inquiry and cross-functional reporting capabilities between the two agencies utilizing the new District EAI backbone;
  - Demonstration of SPIS functionality to District and Family Court policy-makers in order that individual agencies can identify sets of business requirements that best leverage SPIS to serve their business and integration needs.

The SPIS Framework Development Project will be completed in parallel with the SPIS Pilot Integration Program in order to create synergies for both initiatives. The Pilot Integration Program will continuously benefit from the central infrastructure and business process design activities taking place in the Framework Project. The Framework Development Project will continuously benefit from having access to the real-world test environment created by the SPIS Pilot Program in order to test Framework concepts.

District experience and best practice research demonstrate that large technology implementation programs in the health and human services fields are often troubled by inaccurate assumptions, legal obstacles, or unrealized technological short-comings perpetuating themselves undetected throughout the planning cycles, only to be revealed upon roll-out within the real-world environment. By testing the SPIS architecture and functionality almost immediately, the Pilot Integration Program will protect the District from having to complete costly remediation activities late in the implementation lifecycle.

7.2.3   Systems Engineering Lifecycle Process

Working closely with District agency leadership and the DMCYFE, OCTO has cataloged the primary projects that will contribute to the SPIS lifecycle and SPIS integration with the Family Court. As previously noted, these projects are presented in *Appendix VIII: SPIS Project Components*. Pending funding decisions, the following projects will be initiated in the coming months to optimize the District environment for the long-term implementation of SPIS and integration with IJIS:

- Deployment of Project Management Structure
- Technology Evaluations and Vendor Selections
- Development of the Business and Legal Requirements for a Common District Service Identification Number

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- Definition of Cross-agency Data Conventions
- Identification of Key District Human Services System Indicators *(pre-cursor project to technological development of reporting capabilities)*

7.3   Cost of SPIS and Integration with IJIS

Rolled-up fiscal year cost estimates for SPIS development and integration with the Family Court are provided in *Appendix IX: SPIS Project Estimates.*   The District estimates that the baseline SPIS Integration Program will take approximately four years (FY03 through FY06) and cost $18 million. The bulk of the spending would be in the first three years of the program. These cost estimates are intended only to provide basis for the development of project funding strategies. As detailed in section 7.2.2, more specific implementation planning and cost assessment activities are two of the immediate next steps in the SPIS program lifecycle.

Cost estimates are based on the short-term and long-term strategies presented within this report matched against OCTO knowledge and experience in managing systems development projects throughout the engineering lifecycle. Consideration has been given to the arduous process of collecting both business and technical requirements, performing business process re-engineering, coding EAI business rules and triggers, licensing and customizing software, purchasing and configuring hardware, managing system and user acceptance testing, and developing and conducting end-user training. OCTO has built in the costs of contracted resources in its SPIS estimates based on resource cost and utilization realized within ASMP. The timeline and costs would build and implement most of the SPIS/Family Court vision, including case management information sharing, cross-functional aggregate reporting, electronic forms exchange, and calendar/notification capabilities among the Family Court, CFSA, DHS/YSA and other administrations within DHS, OCC, DMH, and DCPS. Given that the majority of MPD interaction occurs with divisions of the Superior Court outside of the Family Court, the current District assumption is that the more fundamental integration requirements of MPD will be addressed during IJIS development and therefore achieved primarily through mechanisms other than SPIS. Some agencies with less critical integration needs (e.g., DCHA) that have not been accounted for in this first round of planning should still be addressed in supplemental planning activities.

The four-year plan and $18 million cost will deliver the District and Family Court a level of systems integration and information sharing un-paralleled within today's government health and human services fields. Given its limited population and geographic size, proximity to Federal service agencies and numerous private social service foundations, representative cross-section of health and human services challenges, and the strong central controls developed by OCTO, the District believes that it is the logical

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candidate to develop and implement a National model for IT integration between government health and human services agencies and the Courts.